Standard IV: Leadership and Governance

The institution recognizes and uses the contributions of leadership throughout the organization for promoting student success, sustaining academic quality, integrity, fiscal stability, and continuous improvement of the institution. Governance roles are defined in policy and are designed to facilitate decisions that support student learning programs and services and improve institutional effectiveness, while acknowledging the designated responsibilities of the governing board and the chief executive officer. Through established governance structures, processes, and practices, the governing board, administrators, faculty, staff, and students work together for the good of the institution. In multi-college districts or systems, the roles within the district/system are clearly delineated. The multi-college district or system has policies for allocation of resources to adequately support and sustain the colleges.

A. Decision-Making Roles and Processes

IV.A.1. Institutional leaders create and encourage innovation leading to institutional excellence. They support administrators, faculty, staff, and students, no matter what their official titles, in taking initiative for improving the practices, programs, and services in which they are involved. When ideas for improvement have policy or significant institution-wide implications, systematic participative processes are used to assure effective planning and implementation.

EVIDENCE OF MEETING THE STANDARD

The College’s leaders use existing governance and planning processes to create and encourage innovation leading to overall institution-wide excellence and supporting faculty, professionals and students to improve college practices.

Fostering Innovation

KCC has long prided itself on the way faculty and staff innovate and experiment to improve educational outcomes for our students. Executive leadership has fostered the development of new ideas and testing them at the College. The Office of the Chancellor “is responsible for maintaining a successful learning environment for all students, an institution that is responsive to the needs of the community, and an environment that provides for professional growth and development of all staff.” (IVA-1)

Two far-reaching recent examples of the forward-looking approach are the development of the 2015-2021 Mission and Strategic Plan and the development of the Student Success Pathways.
The Mission

The current mission statement is the result of months of open and participative discussion (see discussion of development of mission statement) led by the Director of the Office for Institutional Effectiveness. (It begins with a vision that sees the College as “a model indigenous serving institution.”) Its commitment to encouraging innovation is reflected in its second values statement: “We are guided by our shared vision, values and commitments and by the recommendations of Hawai‘i Papa O Ke Ao.”

This value speaks of continuous improvement based on input from the Hawai‘i Papa O Ke Ao, which is comprised of representatives of each campus, is a presidential appointed work committee tasked with developing, implementing and assessing strategic actions. The Dean of Arts and Sciences represents the College on this committee. For a detailed discussion of the mission can be found in Standard I.A.

Centering on Student Success

The College’s implementation of the UHCC’s Student Success Pathway is another example of innovation and participation; this initiative was led by the Student Success Coordinator, who reports directly to the Interim Chancellor. The Student Success Pathway is now the foundational document which guides program review analysis at the department level as well as for resource allocation. The integration of the SSP into the strategic planning goals simplifies earlier efforts of the College to connect student achievement to student programs and supports efforts.

Supporting Innovation Initiatives

To demonstrate the College’s commitment to “invest in what is really important,” the Interim Chancellor allocated funding for Fiscal Year 2017, to “promote the enhancement of our faculty and staff across all the units”. The plan outlined funding pools for faculty and staff to participate in professional development activities.

Later that Fall, the Interim Chancellor allocated $106,000 in Research Training and Revolving Funds monies to be used by faculty and staff to participate in Professional Development activities. Awardees participated in a variety of conferences and seminars, many on the mainland. Awards were given on the basis of activities aligning with Student Success Initiatives. In addition, the Interim Chancellor allocated a portion of the monies in the Tuition Fees and Special Funds account to support professional development. Finally, four half-year sabbaticals, which had been deferred since 2014, were awarded. A summary of College efforts are listed

The College and University provide training updates and participants can sign up via the Ohana (intranet) website. Training includes educational methodology and instructional support, required safety and technical training for workplace safety, as well as training for administrative functions at the College.
On a more informal basis, twice a month during AY 2017, the Interim Chancellor held sessions where faculty, staff and students gathered to discuss areas of concern and present possible remedies and responses. During fall 2016 these sessions were called Ask Me Anything, in which the college community was invited to bring any question to the Interim Chancellor. In spring 2017, after getting results from the 2016 Climate Survey, the Interim Chancellor created sessions called Give Me Solutions, looking for discussions and solutions to issues highlighted by the survey. During this same period, the Interim Chancellor convened four By Invitation Only sessions, in which all faculty and staff were invited to gatherings to meet with her and share ideas about how to improve the College. These gatherings were based on the number of years they had worked at the College.

Using College Policies and Processes

Several structures ensure systematic participative processes. The Chancellor’s Advisory Council (CAC) implements key components of the UH System-wide Executive Policy E4.201 Integrated Long Range Planning Framework. The council is composed of administrative leaders and faculty of Academic Programs and Administrative and Educational Support Units, the Counseling and Academic Advising Council, and representatives from the four authorized, constituent-based committees—Authorized Governance Organizations (AGOs).

Planning and Implementation

- Co-requisite model: When ideas for improvement of the policy on remedial and developmental education were explored, data indicated that students enrolled in pre-collegiate classes were not persisting through to college-level coursework. These students were expending their financial aid and getting discouraged with the time required to complete their coursework. The College engaged English and math faculty to develop curriculum and re-organize the delivery of these courses. Support to the faculty was provided by way of release from teaching as well as stipends to work during the summer. In addition, faculty were consulted on changes to the organizational structure of the unit delivering remedial and developmental education [Leon’s working group that recommended going back into Arts & Sciences] (needs work) See UHCC Student Success Council. uhcc.hawaii.edu/success/about.php
- STAR: A System-wide innovation the College implemented recently is the Student Academic Records (STAR) degree audit platform. STAR enables students to plan and track their academic journeys at a single site. Course registration is done exclusively on the STAR Guided Pathway System(GPS). The STAR GPS System allows students to plan and project graduation date, track degree requirements with the Academic Essentials tab, register for suggested courses to optimize path towards graduation and view unofficial transcripts and grades. Administrators, faculty, and staff worked
together to implement the new system. [Susan K and Brenda will have documentation of meetings]

- Based upon the results of grant-funded innovations in science education, the College has institutionalized undergraduate research experiences. The innovation required the development of a policy for fair compensation of the faculty engaged in this research with individual students. The VCAA and the science faculty collaborated to create the infrastructure for the curriculum and the compensation. [Matt Tuthill will have correspondence]
- DE Plan started with a memo from Faculty Senate to Chancellor
- Development of Student Success Pathway for Kapiolani
- Hawai‘i Papa O Ke Ao

*Innovations in Student Learning*

In an effort to better manage the reporting of student learning outcomes assessment, the College selected a third-party provider. The process of that institution-wide improvement engaged many faculty in all stages of the selection of the vendor and the implementation of the program, Taskstream. [Bob Moeng & Joanne have the documents]. The College updated its institutional assessment plan with input from select faculty and then shared it broadly with campus constituents via the CAC. That participatory process resulted in significant changes to the plan to address implementation issues raised at the CAC meetings as well as two open forums and a meeting with a particular department.

- The Role of the CAC [https://laulima.hawaii.edu/x/dCbvRU](https://laulima.hawaii.edu/x/dCbvRU)
- UH Executive Policy E4.201 [https://laulima.hawaii.edu/x/RQZIqy](https://laulima.hawaii.edu/x/RQZIqy)
- STAR Overview [https://laulima.hawaii.edu/x/DMJXxD](https://laulima.hawaii.edu/x/DMJXxD)

Add staff participation in 2017 HSSI.
Student leadership development. 2017 Washington student leadership conference. 4 or 5.

**ANALYSIS AND EVALUATION**

The College meets the standard.

Thesis statement: The College’s leaders create and encourage innovation leading to institutional excellence, supporting faculty, staff and students to take initiative and effect improvements in a systematic, participative process that assures effective planning and implementation.

First, The College’s Strategic Plan is focused on Student Success initiatives, including the development and enhancement of its faculty and staff. Second, faculty and staff are provided support for pursuing professional development opportunities. The College utilizes internal resources that are readily accessible to enable all stakeholders to participate. Finally, the College has platforms for all stakeholders to contribute ideas for improvement.
Standard IV.A.2. The institution establishes and implements policy and procedures authorizing administrator, faculty, and staff participation in decision-making processes. The policy makes provisions for student participation and consideration of student view in those matters in which students have a direct and reasonable interest. Policy specifies the manner in which individuals bring forward ideas and work together on appropriate policy, planning, and special-purpose committees.

**EVIDENCE OF MEETING THE STANDARD**

KCC and the UHCC have established policies and procedures that authorize administrators, faculty, staff and students to participate in making decisions. There is a specific manner in which individual stakeholders bring forth ideas and work together on policy, planning, and special-purpose committees.

**Stakeholder Participation**

Decision making at the College is a participatory process, where stakeholders provide a voice for the different constituency groups they represent. The University of Hawai‘i Board of Regents sets and publishes, in the University of Hawai‘i’s Reference Guide (2014), systemwide policies regarding governance. The University of Hawai‘i Professional Assembly (the faculty union) collective bargaining agreement establishes clear guidelines regarding the faculty’s scope of authority in decisions regarding academic matters. The College’s governance policy is outlined in the policy statement Governance at Kapiolani Community College (2016).

- University of Hawaii Reference Guide (cite page #)
- Faculty Senate Constitution and Bylaws
- UHPA contract
- Kapiolani Community College Governance Policy
  https://ohana.kapiolani.hawaii.edu/policies/

Governance at the College takes place through the shared responsibilities of the College’s constituencies.

Standing Councils, the Authorized Governance Organizations, and Ad Hoc Committees and Task Forces.

The four **Authorized Governance Organizations (AGOs)** hold elections and convene meetings on a regular basis. Each AGO sends a representative to fully participate in the Chancellor’s Advisory Council, the largest and most representative policy group advising the Chancellor. The responsibilities of the AGOs are as follows:

1. The **Faculty Senate** is responsible for speaking on behalf of faculty on academic policy matters such as: (a) policy determining the initiation, review, and evaluation of proposed
or authorized research, instructional, and academic programs; (b) budget planning and implementation policy; (c) student-faculty relations policy; (d) policy for the evaluation of faculty and campus academic administrators; (e) the improvement and establishment of a canon of professional ethics and an effective means of professional maintenance of those ethics, including faculty self-discipline; and (f) other subjects affecting academic policy, subjects referred to the Senate by the Chancellor, or by request of the appropriate faculty organization. (Website, Charter, minutes)

2. The **Student Congress** develops and implements plans for programs and activities responsive to the needs and interests of students and promotes participation in decision-making concerning the college community. (Website, Charter, minutes)

3. The **Kalāualani Council**, composed of all Native Hawaiian and Native Hawaiian-serving employees of the College, participates in the governance of the campus and advises in matters relating to Native Hawaiian programs, activities, initiatives, and issues in alignment with the Pūkoʻa Council of the University of Hawaiʻi (Website, Pūkoʻa Council). (Kalāualani website, Charter, minutes)

4. The **Staff Council** represents the interests of staff employees and works to support the provision of professional development for its members. (Website, Charter, minutes)

The **Standing Councils** provide opportunities for campus leaders, faculty, staff, and students to work with administration in the governance process. These councils serve as advisors to executive administration and address a wide variety of college-wide issues.

1. The **Chancellor’s Advisory Council (CAC)** is composed of department chairs, unit heads, administrative services section heads (e.g. Human Resources, Business Office, etc.), the Director of the Office of Institutional Effectiveness, the Chair of the Counseling and Academic Advising Council, chairs of the four AGOs, the Vice Chancellors and deans, and the Chancellor. It is the broadest and most comprehensive council at the College. All members are responsible for keeping their respective constituents informed of matters discussed in this Council. Special task forces or Workgroups exist to support the CAC by researching problems, making recommendations, and/or implementing procedures. For example, the CAC Budget Workgroup plays an integral part in resource allocation recommendations. While membership of the CAC is limited to these individuals, meetings are open to all employees of the College and agendas and minutes are shared broadly. (Website, Charter, minutes). Policy organization.

2. The **Vice Chancellors’ Advisory Council (VCAC)** convenes the Vice Chancellors, deans, department chairs, unit heads, the two assessment coaches, the chair of the Counselors and Academic Advisors Council and the College’s Curriculum Specialist. It is a forum to discuss the implementation of policy and address operational matters in instructional activities, student services, workforce development, and continuing education. (Website, Charter, minutes). VCAC is more operational.

3. The **Counseling and Academic Advising Council (CAAC)** convenes all counselors and academic advisors throughout the Office of Academic Affairs, Office of Student Affairs, and Honda International Center. The Council addresses and makes
recommendations on issues that impact counseling and academic advising. The chair serves as a representative on the CAC and attends VCAC meetings. (Website, Charter, minutes)

○ CAAC Standards of Practice: https://laulima.hawaii.edu/x/4lPH1Z

4. The Administrative Staff Council convenes, on a weekly basis, the Vice Chancellors for Academic Affairs, Student Affairs, Administrative Services; the three Academic Program deans, the Dean for the Office of Community and Continuing Education, the Student Affairs Coordinator, the Chancellor’s Executive Assistant, and the Chancellor. All issues affecting the College are addressed in these meetings and all members are responsible for keeping their respective constituents informed of administrative decisions that address the needs, ideas, and vision of the College’s community members. (Website, Charter, minutes)

In addition to the AGOs and Standing Councils, the Chancellor may also designate special purpose committees such as ad hoc committees and task forces to address specific issues that remain outside the normal business of the eight councils. A recent example of a special purpose committee was the Interim Chancellor’s appointment of two faculty members to lead the update of the institutional assessment plan in 2016-2017.

Collaboration in Decision Making

An example of collaborative work on policy, planning, and decision-making is the process for allocating supplemental Tuition and Fees monies (Tuition and Fees Special Funds – TFSF). The College’s policy and procedure that outlines the workflow and decision-process was developed by the Vice Chancellor for Administrative Services in fall 2013, vetted by the Administrative Staff Council, and reviewed and recommended for the Chancellor’s approval by the CAC.

Each year, in anticipation that there will be supplemental TFSF funds at the end of the fiscal year, applications for additional budget allocations are submitted by faculty and staff to Department Chairs and Unit Heads, who along with their Dean or Vice Chancellor will prioritize the requests based on alignment with Student Success Initiatives and the College’s Strategic Plan and with the goal of program improvement. Requests are reviewed independently by each of the four AGOs representing the interests of faculty, students, the Native Hawaiian community, and staff. Proposers have the opportunity to clarify and advocate for their applications at a Town Hall meeting convened by the AGOs. The AGOs prioritize the requests and submit the lists to the Vice Chancellor for Administrative Services. The Vice Chancellor conveys these lists to the CAC Budget Workgroup. The workgroup further prioritizes the requests and makes recommendations for funding to the CAC. The CAC reviews the recommendations, votes on the recommendations, and forwards the final recommendations to the Chancellor for approval. The Chancellor reviews the recommendations, makes her decisions, and provides a memo to the CAC summarizing her decisions. If there are decisions that are different from the CAC’s recommendations, the Chancellor must provide justification. Members of the CAC are required to share this memo with their constituencies.

● Budget Allocation Request process
Additional evidence of policies and procedures that describe the official responsibilities and authority:

- Policy on academic freedom?
- [http://uhcc.hawaii.edu/OVPCC/policies/](http://uhcc.hawaii.edu/OVPCC/policies/)
  - LP, which policies answer this standard question?: The institution has policies and procedures that describe the official responsibilities and authority of the faculty and of academic administrators in curricular and other educational matters.

**ANALYSIS AND EVALUATION**

The College meets the standard.

The College has established policies and procedures that authorize administrators, faculty, staff and students to participate in making decisions. There is a specific manner in which individual stakeholders bring forth ideas and work together on policy, planning, and special-purpose committees.

(Address all points in the manual)

There is a governance policy, active AGOs, active student Congress. Climate Survey evaluates governance.

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**IV.A.3. Administrators and faculty, through policy and procedures, have a substantive and clearly defined role in institutional governance and exercise a substantial voice in institutional policies, planning, and budget that relate to their areas of responsibility and expertise.**

**Evidence of Meeting the Standard**

Governance roles of administrators and faculty are clearly defined and ensure administrators and faculty have a substantive voice in policy development, planning and budgetary matters that relate to their areas of responsibility and expertise.

*Clearly Defined Roles*

College’s Governance Policy (see IV.A.2.) clearly states the role of faculty at the College in policy development, planning and budgetary matters. The College’s Functional Statements outline the governance responsibilities of all executive administrative offices.
In addition, UH Policy 4.201, Integrated Long-Range Planning Framework, addresses the roles of faculty in long range planning.

- Board of Regents Reference Guide (II.C.1)  https://laulima.hawaii.edu/x/zhKGLD
- Governance at KCC https://laulima.hawaii.edu/x/o34uUU
- CAC Charter
- ARF Process policy and procedure
- SSP policy and procedure

**Appropriate Voice and Input**

Policies governing academic and student support issues may be initiated through the Faculty Senate, the faculty’s authorized governance organization. Recent examples are … [gotta look back at the FacSen resolutions]

A central objective of the College’s planning is broad participation of faculty, staff, and students resulting in decentralized implementation within common parameters. The College is distinctive for its collegial, open, and participatory management style. Planning in this setting is characterized by consultation and review that combine the best of bottom-up and top-down approaches.

Administrative leadership is ultimately responsible for developing, in consultation with constituents. The planning parameters are updated as needed and broadly disseminated across the College. Executive leaders are also responsible for managing the overall planning process and, with appropriate consultation, for the preparation of plans for college-wide functions and activities.

The primary institutional planning documents are the Strategic Plan and the Long Range Development Plan (LRDP). Faculty and administrators, along with students, staff, and community members, collaborated in the development of the most recent Strategic Plan (2015-2021). In concert with directions set by the UHCC system, the College engaged in dialog with stakeholders for XXXX months to develop the plan. Drafts were shared in open forums as well as in the constituent groups. Feedback was obtained at various points in the development process. The final version of the Strategic Plan was approved by all the Authorized Governance Organizations.

Similarly, the 2010-2020 Long Range Development Plan enlisted the assistance of the College’s stakeholders, including members of the community. All groups participated in the year-long process, providing feedback on directions for campus development. The College will be engaging in the process to update our LRDP in 2018.

Budget decisions are informed by data and information reported in the College’s Annual
Review of Program Data and Comprehensive Program reviews. 
https://laulima.hawaii.edu/x/HJrGiF

Budget preparation at the College is primarily the responsibility of the Office of the Vice Chancellor Administrative Affairs. The Faculty Senate and Kalāualani, the Native Hawaiian authorized governance organization, have standing budget committees, who provide input to budget processes through their representation on the Chancellor’s Advisory Council’s Budget Work Group. In addition to annual budget allocations to the various departments and units for personnel and operational costs, the College also provides opportunities for the allocation funding in addition to these established personnel and operational requirements. The authorized governance organizations and the CAC Budget Work group play pivotal roles in making the final recommendations on which additional requests are approved for funding.

The College’s planning system involves a core set of interrelated plans. Typically each document provides a guide to more detailed planning at one level and a mechanism for integrating that level into a coherent relationship with the broader objectives and policies that exist at more comprehensive levels of planning.

- Mission Statement. https://laulima.hawaii.edu/x/My1fzx
- Strategic Plan https://laulima.hawaii.edu/x/ivm0XJ
- Student Success Initiatives (V. Ogata to provide link: Vern: “perhaps we can talk about how the SSPs tie into the Strategic Plan, as well as the resource allocation process. Brian has a nice flow chart to show this.”)
- BOR policy on faculty involvement https://laulima.hawaii.edu/x/FEg4pD
- ARPD https://laulima.hawaii.edu/x/VMPkOX

**ANALYSIS AND EVALUATION**

The College meets the standard.

Governance roles of administrators and faculty are clearly defined and ensure administrators and faculty have a substantive voice in policy development, planning and budgetary matters that relate to their areas of responsibility and expertise.

First, the College has clearly defined roles for administrators and faculty in governance through policy. Second, through the system of shared governance, all constituent groups have opportunities to participate in planning, policy development and decisions regarding budgetary matters.

Finally, constituents of the College are represented and work collaboratively to reach a variety of goals guided by a common mission and shared vision.
EVIDENCE OF MEETING THE STANDARD

Faculty and academic administrators, through policy, procedures, and well-defined structures, have responsibility for recommendations about curriculum and student learning programs and services.

Curriculum Oversight

The Board of Regents Policy, Chapter 1, General Provisions, Section 1-10, entitled Regents’ Policy on Faculty Involvement in Academic Decision Making and Academic Policy Development states, “the faculty has primary responsibility for such fundamental academic areas as curriculum content, subject matter, and methods of instruction and research. On these matters the power of review and concurrence or final decision lodged in the Board of Regents or delegated to administrative officers should be exercised adversely only in exceptional circumstances and for reasons communicated to the faculty.”

The Faculty Senate Constitution further stipulates the primacy of the faculty in the determination of curriculum: [quote from Fac Sen constitution]: XXXX

In addition, K 5.201, the policy governing the review of curriculum, clearly outlines the role of the faculty as well as the academic administrators in the review of curriculum. In accordance with K 5.201, the Faculty Senate Curriculum Committee, the Faculty Senate and the Vice Chancellor for Academic Affairs review curriculum proposals before final approval by the Chancellor. The curriculum review process, as specified by the Faculty Senate, requires that faculty proposing new or modified curriculum consult with their academic deans prior to submission of proposals to the review process.

New programs are proposed to the Vice President of Community Colleges and approved by the Board of Regents in accordance with Regent’s Policy 5.201. Regents’ policy 5.202 mandates that the College’s established programs shall receive a comprehensive review at a minimum of every fifth year.

The recent systemwide adoption of Kuali Student Curriculum Management, new curriculum management system, as well as the systemwide implementation of student registration through the STAR guided pathways system provided an opportunity to evaluate the approval flow and timelines for the curriculum review process. The result of the evaluation is reflected in Faculty Senate resolution XXXX, which revised the flow of curriculum documents, and the formulation of K 5.201, effective XXX, which revised the timelines for curriculum review.
ANALYSIS AND EVALUATION

The College meets the standard.

Faculty and academic administrators, through policy, procedures, and well-defined structures, have responsibility for recommendations about curriculum and student learning programs and services.

Policies and procedures are in place that define the roles of faculty and academic administrators in decisions regarding curriculum and student learning programs and services. Evaluation of the processes, on an as needed basis, leads to improvements.

IV.A.5. Through its system of board and institutional governance, the institution ensures the appropriate consideration of relevant perspectives; decision-making aligned with expertise and responsibility; and timely action on institutional plans, policies, curricular change, and other key considerations.

EVIDENCE OF MEETING THE STANDARD

The College ensures, through its system of board and institutional governance, that the relevant perspectives, expertise, and responsibility guide decision-making and timely action on plans, policies, curricular change, and other key considerations.

Relying on Expertise

The College implements a set of policies and procedures established at the system level and locally at the College

Appropriate roles for staff and students are defined by UH System policies

- EP 1.101 Implementation and Maintenance of Regents Policy on Faculty Participation in Academic Decision Making and Academic Policy Development
  https://laulima.hawaii.edu/x/LYwTpl
- EP 1.201 Faculty Involvement in Academic Policy,
- EP 7.101 Delegation of Authority-Student Affairs
- EP 2.211 University Leadership Orientation
- EP 9.213 Stakeholder Representation on University Committees (refers to admin, faculty students, and staff)
- UHCC 1.101 Council of Community College Chancellors
- UHCC 1.102 Community College Council of Faculty Senate Chairs

At the College level:
Mention CAC’s broad & relevant representation, to include AGOs and staff expertise (fiscal, HR, Facilities). They decide on and advice the Chancellor in matters that have institution-wide significance
  ○ CAC Charter (also guides the members as to their roles and responsibilities)
  ○ Evidence CAC minutes
Diverse perspectives are highly valued (AGOs)

As an example of how curriculum decisions involve relevant perspectives, curricular actions are proposed by Program Coordinators and voted on by the respective department prior to submitting to the Curriculum Committee for review. The next level of approval comes from a Faculty Senate vote and the Vice Chancellor of Academic Affairs. The Chancellor provides final approval that make changes official. (This process was discussed in Section IV.A.4)

College’s Organizational chart https://laulima.hawaii.edu/x/dLM5gu
Policy for making policy (JW)
Curriculum Approval policy or flowchart (JW)

List key decision processes that are on a time cycle:
  ● ARF process
  ● Curriculum review process
  ● Program review
    ○ ARPD
    ○ CPR
  ● Student Success Pathways
  ● Program accreditation

ANALYSIS AND EVALUATION

The College meets the standard.

The College ensures, through its system of board and institutional governance, that the relevant perspectives, expertise, and responsibility guide decision-making and timely action on plans, policies, curricular change, and other key considerations.

**IV.A.6. The processes for decision-making and the resulting decisions are documented and widely communicated across the institution.**

EVIDENCE OF MEETING THE STANDARD

The College documents and widely communicates across the institution the processes for decision-making and the results that ensue.
Documentation and communication of decision-making and results

The College uses meeting minutes,

The College’s four AGO’s and Administrative branches document decision processes and resulting resolutions and changes improvement in their respective minutes. Minutes for all authorized governance organizations as well as advisory councils are publically available online. In addition, minutes of the Chancellor’s Advisory Council, where many of the institution’s decisions are made, are disseminated to all members of the Council.

- AGO Minutes communicate decisions
- Admin Staff minutes communicates decisions
- ARF process and Budget Committee’s final recommendation
- CAC Minutes https://laulima.hawaii.edu/x/Rwl6DL
  - CAC Budget Committee Minutes
- Forums to share information and gather feedback
  - Sustainability plan, DE plan, Assessment Master plan
- Convocation (agendas)

ANALYSIS AND EVALUATION

The College meets the standard.

Based on the number of “Don’t Know” responses in the Closing the Loop survey in Fall 2016, the College recognized the need to improve communication about its decision-making process and about the results of that process. As a result, the College created and shared a document representing the decision-making process and began publishing the CAC minutes in the News and Events, the daily electronic bulletin. To further ensure campuswide dissemination of important College information, effective Fall 2017, the News and Events has changed from an “opt in” subscription to an “opt out” subscription. The College documents and widely communicates across the institution the processes for decision-making and the results that ensue.

IV.A.7. Leadership roles and the institution’s governance and decision-making policies, procedures, and processes are regularly evaluated to assure their integrity and effectiveness. The institution widely communicates the results of these evaluations and uses them as the basis for improvement.

EVIDENCE OF MEETING THE STANDARD

The College regularly evaluates leadership roles and governance and decision-making policies to insure integrity and effectiveness. Evaluation results are shared widely and are used to as a basis for improvements.
Regular Review and Evaluation

Ways of evaluating performance:

- 2012 Accreditation Self Study Faculty and Staff Survey & 2016 Climate (Closing the Loop) Survey
- Annual Chancellor’s report to VP UHCC (to be done on Chancellor’s page: https://www.kapiolani.hawaii.edu/welcome-from-the-chancellor/
- Annual 360 survey: All executive/management people Chancellor to deans (not a policy to share--only bosses)
- Annual Dept. Chair and Unit Head surveys (not a policy to share? Do supervisors get this?)
- Annual Admin Staff self evaluations (Chancellor)
- 2014 Quality of Faculty Worklife Survey administered spring 2014 at all campuses at the behest of the ACCFSC. Results released fall 2014.
  - The survey yielded results that pointed toward a general sense of dissatisfaction in the leadership under Chancellor Richards. Another Faculty Senate Action Request resulted in the polling of constituents via their respective AGO’s to support a Vote of No Confidence which led to a removal of Chancellor Richards.
  - Vote of No Confidence
- 2017 The Administrative Leadership Feedback System (ALFS)
  - In 2016, a resolution was passed by Faculty Senate to request evaluations of Administration be conducted. This was in response to feedback received in the Faculty Worklife survey conducted in 2014. Results were not public, but open forum conducted.
  - The Administrative Leadership Feedback System resulted after two years of development by the Faculty Senate subcommittee of Evaluations. The survey was administered in Spring 2017. Approximately 25 percent of the faculty participated. Later that Spring Administrators held an open forum where they shared plans to address participant’s concerns and respond to the survey results.
  - Administrative Leadership Feedback System presentation https://laulima.hawaii.edu/x/MpwLA1 (need to get final version)

Evaluation of roles:

- Leadership roles? Maybe not yet? Admin staff? Dept chairs? Unit heads?
  - Identifying needs for project leadership: Assessment Coordinator, DE Coordinator, SS Coordinator, Learning Center Coordinator, DE Counselor,
  - Discussion around Dean of Academic Support. Requests from LP to Leon.
  - Discussion around Dean for Student Affairs. Requests from Mona to Leon.
- Governance and decision-making policies
  - Same with AGO self evaluation surveys (Faculty Senate, Kalaulani, Staff
Council?, Student Congress?) unless they ask questions about their policies? Ask AGOs for their evaluation surveys?
  o ARF process - late 2013, evaluated every year since (CAC minutes)
  o CAC: brainstorming on integrated planning (CAC minutes)

Evaluation results are shared widely and are continuously used to effect improvements.
  ● Posting of climate survey at OFIE website
  ● See performance evaluation listing above as to how they are shared
  ● ALFs forum: discussion on how Admn on how they plan to improve their areas
  ● Faculty Senate shared their survey
  ● Next FY: Admin staff will share out, in town-halls, one-page goals infall, then accomplishments in spring.

**ANALYSIS AND EVALUATION**

The College meets the standard. The College regularly evaluates leadership roles, governance and decision-making policies to insure integrity and effectiveness. Evaluation results are shared widely and continuously used to effect improvements.

First, in an effort to create a dynamic institution that responds to changing student needs, the College constantly evaluates leadership roles, governance and decision-making policies to insure integrity and effectiveness.

Second, the College uses feedback from evaluations to develop practices and policy in pursuit of continuous improvement.

**B. Chief Executive Officer**

**IV. B. I. The institutional chief executive officer (CEO) has primary responsibility for the**

quality of the institution. The CEO provides effective leadership in planning, organizing, budgeting, selecting and developing personnel, and assessing institutional effectiveness.

**EVIDENCE OF MEETING THE STANDARD.**

Under the Hawaii community college system, the *Chancellor* functions as the Chief Executive Officer (CEO) of the College, providing effective leadership in a wide variety of areas including
planning and organizing, budgeting, selecting and developing personnel and assessing College effectiveness.

At the University of Hawaii System, the President is the CEO of the system of 7 community colleges and 3 four-year universities. The Vice President for University of Hawaii Community College System oversees the 7 community colleges. Each community college is led by a Chancellor, who serves as the CEO for his or her respective institution.

As of June 1, 2016, Dr. Louise Pagotto has been serving the College as CEO. Her appointment is until May 31, 2018, by which time a permanent Chancellor will be selected. Prior to becoming CEO, she served as Vice Chancellor for Academic Affairs for ## years. The College is in the normal course of changing executive leadership and currently has a CEO drawn from the existing leadership ranks of the College. The goal is to select a permanent Chancellor by May 31, 2018. The existing college processes and practices assure a smooth transition between chancellorships.

**Improve, Promote and Connect**

In the summer of 2016, the CEO convened a planning retreat with the Administrative Staff Council to focus on three overarching goals for the year:

1. Improve infrastructure
2. Promote a culture of respect and excellence, and
3. Connect to the Strategic Plan (Attach notes from admin retreat).

The goal of improving infrastructure was to bolster and support processes across the campus. The goal of promoting a culture of respect and excellence was to bring the campus together in the wake of the previous Chancellor’s departure and to set the stage for new leadership. Finally, the goal of building connection to the strategic plan was to ensure that everyone would see themselves in the strategic plan for 2015-2021.

In May of 2017, the Chancellor, in her State of the College Report to the CAC, reported progress on infrastructure including the fact that the College filled 52 positions, revised the CAC charter, added additional communications channels, simplified the Allocation Request Form process, and spent $500,000 on classroom furniture upgrades.

In addressing the culture of respect and excellence, the College had conducted a campus-wide survey on civility (link) and held a forum on the results. A mandatory campus-wide training on civility was held in August 2017. For the culture of excellence six-month sabbaticals were re-instated and two were approved for 2017-2018. Six month sabbaticals had not been awarded
since 2014. The Chancellor oversaw a significant increase in professional development support, with a combined total of TFSF and RTRF funding of $157,000.

In order to connect faculty, staff, and students with the College’s Strategic Plan, the Chancellor authorized that each outcome of the strategic plan should be aligned with a phase of the College’s Student Success Pathway. Then all departments, units, and programs were asked to align their goals with the SSP and develop measurable outcomes to assess progress toward those goals. 54 departments, units, and programs did the work of connecting their projects and initiatives with these phases, thereby connecting to the strategic plan. This was an unprecedented level of college participation. (link to SSP pathway & link to Strat plan, link to google folder with all the alignments).

**Distance Education**

KCC recognizes the role that online education formats are playing in meeting the emerging learning needs of our students. As a result, during this academic year, the Chancellor authorized the development of a distance education plan and an institutional assessment plan (links to both memos). The CAC and AGOs endorsed a campus sustainability plan and the distance education plan (plan links). The Chancellor led several forums and stakeholder meetings to discuss and vet the assessment plan. Although campus-wide support could not be achieved for the assessment plan, the Chancellor authorized several assessment initiatives to strengthen assessment at the College.

**Advancing Student Success**

From the start of her tenure, the CEO faced many major organizational challenges. A major challenge was the College’s implementation of the UHCC Student Success Pathway initiative. As described in XXXX, in 2015 the UHCC System developed a systemwide initiative for Student Success and all community colleges were tasked with implementation. The Chancellor appointed a Student Success Coordinator and, as it was a campus-wide initiative, established the position as a direct report. She worked with the Student Success Coordinator to modify the pathway, a visual and informational chart that maps out the student’s journey throughout their college journey (show UHCC pathway and KCC pathway) to reflect the needs of the College. The Coordinator works with a team of faculty, staff, and students with smaller teams assigned to each pathway phase. As mentioned in the section on planning, this team has successfully aligned the pathway with the College’s Strategic Plan and is helping to monitor progress on goal achievement. The Coordinator is a member of the CAC so that issues regarding student success throughout the College may be discussed with the largest representative body in the College’s committee structure. The SSP also organizes various parties on campus to come together and create projects and initiatives that encouraged cross campus collaboration (attach notes from SSP groups, attach SSP chart of each program).
Another major challenge was the evaluation and improvement of the Chancellor’s Advisory Council (CAC). The Chancellor oversees the CAC, an advisory group composed of leaders of instructional programs, administrative and educational support units, and representatives for AGOs and others with campus-wide responsibilities (attach charter). The group meets about 10 times a year to discuss and make recommendations on major campus issues (attach CAC minutes). This organizational structure allows for many individuals to work on various issues on the campus. It allows feedback from all parts of the campus, ensuring that different programs and services have an input on campus projects and initiatives. From 2016 to 2018, the Chancellor facilitated several meetings on how to improve the CAC (Pacheco’s meeting, other minutes from CAC meetings). In September 2017, the Chancellor presented a revised charter and decision-making flowchart. The flowchart re-organizes and codifies the interactive decision-making process of key advisory bodies. (final charter and flowchart). Add in statement of revised governance document, with link.

**Budgeting and Fiscal Stewardship**

The Chancellor is responsible for a $44 million budget, in addition to extramural funds totalling approximately $6.8m, which increases campus revenue by 15.5 percent. In spring the VCAS alerts the departments and units to create projected annual and five-year budget plans. The VCAS formulates the annual budget based on the previous year’s allocation funding from the system and the legislature. The UHCC System provides the annual allocation to the College in October of the fiscal year. The Chancellor sends a memo to the College (link) with the final budget allocations.

The Chancellor meets with the VCAS and budget manager monthly to review income and expense spreadsheets to monitor the College’s financial health. If there are areas that are over- or under-spending, the Chancellor immediately informs the area or the supervisor of the area for information or to remedy the imbalance. Each quarter, all departments and units receive allocation balances for review and monitoring. The statements first go to the Vice Chancellors and Deans to ensure that leadership has accountability for the budgets of their departments and units.

**Hiring and Developing Faculty and Staff**

The Chancellor participates directly in selecting and developing personnel at the College. In order to manage personnel resources, when vacancies occur at the College, the need for the vacant position is assessed by the deans and vice chancellors and discussed by the Administrative Staff Council. The position is not automatically filled with a replacement. The Administrative Staff Council decides if a position should be reallocated to another area of the
College (admin staff minutes). A spreadsheet generated by the Human Resource Manager is used to track vacancies, which are discussed quarterly at Admin Staff meetings. (spreadsheet)

Whenever possible, the Chancellor participates in interviews for new hires on the campus, especially for faculty recruitment. Program administrators always participate in second-level interviews, and these administrators report on the process when the Chancellor cannot be present. The final decision on selection of new hires rests with the Chancellor, who signs all offer letters to new hires. In addition to making the final selection of new faculty and staff, the Chancellor is also responsible for appointing department chairs and the heads of support units, upon recommendation from the departments or units. The Chancellor also approves the re-assignment of faculty into new roles. For example, at the request of Faculty Senate, the Chancellor appointed an Interim Distance Education Coordinator to lead an initiative to improve distance education delivery at the College.

During the Convocation of Fall 2016, the Chancellor shared that one of the primary focuses for the year was to be on professional development opportunities for the faculty and staff of the College. During the same semester a budget for professional development using monies from tuition and fees/Special funds accounts was allocated by the Chancellor and divided amongst the Vice Chancellors to distribute accordingly with their respected staff (attach memo of professional development).

As mentioned above, in spring 2017, the CEO revitalized faculty development by increasing funding and re-instituting half-year sabbaticals.

During her tenure as VCAA, the CEO supported several system initiatives that focus on professional development. She continues to lead the UHCC System’s Wo Learning Champions. She recruits campus participants for the President’s Emerging Leaders Program (PELP), and the Community College Leadership Champions (CCLC) (attach links to each program website).

The Chancellor actively encourages faculty to address learning outcomes assessment in their contract renewal and tenure and promotion dossiers. In early January, 2017, she sent an email to department chairs and unit heads, the VCAA, the VCSA, the deans, and faculty involved in professional development calling attention to the need to address learning outcomes assessment in contract renewal dossiers.

Assessing institutional effectiveness.

The Chancellor directs the Office for Institutional Effectiveness (OFIE), which “assist(s) with all academic, student services, and continuing education programs in assessing student success, the health of programs, developing tactical plans that align with the College’s strategic plans, and providing data to be used as the basis for administrators to determine the allocation of
The director reports to the Chancellor and is a member of the Chancellor’s Advisory Council.

The Kapiʻolani Engagement, Learning and Achievement Model (KELA) tracks student engagement, learning and achievement. Student engagement is monitored by the Community College Student Engagement Measures (CCSSE) such as faculty-student interaction, active-collaborative learning, academic challenge, student effort and student support. Student learning is monitored through course, program, general education and institutional learning outcomes assessment, which is collected in the assessment management system Taskstream. Student achievement data is collected by the UHCC and in the College’s ARPDs in areas such as course success rates, fall-spring re-enrollment, fall-fall re-enrollment, annual number of certificates and degrees, annual number of transfers, percentage of students completing a certificate or degree in 3 years and percentage of students transferring in 3 years.
In the KELA model, Institutional Effectiveness Measures (IEMs) are core effectiveness measures to support the operationalization of institutional goals and objectives as defined in the College’s Strategic Plan (reference Strategic Plan Collegewide Strategy No. 8).

The Chancellor meets with OFIE staff to review data and request additional studies, when needed. OFIE analyzes achievement data to be used for planning purposes. The Chancellor shares this information with the campus to ensure everyone is aware of the College’s current state. The results and analyses of the data are discussed with the administrative team within the framework of the mission and strategic plan, and the Chancellor charges OFIE and her administrative team to develop and implement plans to move the College forward.

In addition, the Chancellor has directed OFIE to increase its outreach to the campus community to ensure that faculty and staff may leverage the research skills and research data that OFIE can offer to assist with improving student achievement and learning outcomes achievement. The Chancellor also approved increased professional development for faculty and institutional research staff to learn how to better use CCSSE surveys and data.

Annually the UHCC System provides the College with program effectiveness and achievement data in Annual Review of Program Data reports. Departments, units, and programs augment these reports with narratives that address program learning outcomes, program analyses, results of program assessment, action plans, resource implications, and next steps. These ARPDs are used, in conjunction with the multi-year Comprehensive Program Review and the Student Success Pathway reports, to inform planning and resource allocation decisions. The Allocation Request Form process (discussed in Standard ??) requires budget requests to be linked to learning outcomes and achievement analyses in these reports.

In August, 2017, in an effort to improve the effectiveness of the ARPD, the Chancellor directed OFIE to conduct an evaluation of the report. Criteria included the use of data, presentation of student achievement data, the assessment of student learning, and the quality of action plans (link). Nine faculty were selected to do a thorough review of five sample ARPDs. The Director of OFIE presented the results of the study the VCAC (link to October meeting notes).

**ANALYSIS AND EVALUATION**

The College meets the Standard. The Chancellor provides effective leadership in planning, organizing, budgeting, selecting and developing personnel and assessing effectiveness in a variety of ways.
IV.B.2. The CEO plans, oversees, and evaluates an administrative structure organized and staffed to reflect the institution’s purposes, size, and complexity. The CEO delegates authority to administrators and others consistent with their responsibilities, as appropriate.

The CEO plans, oversees, and evaluates an administrative structure organized and staffed to reflect the institution. When appropriate the CEO delegates authority to administrators and others within the College.

**EVIDENCE OF MEETING THE STANDARD**

*The Administrative Structure*

The Office of the Chancellor is responsible for maintaining a successful learning environment for all students, an institution that is responsive to the needs of the community, and an environment that provides for professional growth and development of all staff. The Office of the Chancellor plans, organizes, directs, and controls the institution’s academic and support programs at the campus level in accordance with established policy and procedural guidelines and applicable statutes, and oversees the management and operations of the College in the following functional areas: Office for Academic Affairs, Office for Student Services, Office for Community and Continuing Education, Office for Administrative Services, Office for International Affairs, and Office for Institutional Effectiveness.
Each of these offices is associated with various responsibilities to ensure the effectiveness of the College. The KCC Functional Statement describes in detail the duties and responsibilities of the respective offices. The leaders of these offices form the Administrative Staff Council, which implements campus-wide decisions approved by the Chancellor.

**Planning, overseeing, and evaluating**

As reported in the 2015 Midterm Report, the Office of Community and Continuing Education (OCCE) was restructured in 2012 and divided into two areas: Office of Continuing Education and Training (OCET) and the Office of College and Community Relations (OCCR). The former was charged with all continuing education courses and training while the latter focused on marketing, public relations and internal communication.

In 2016-2017, based on an evaluation of performance data that showed declining revenue and the need to better address educating adult working age population, the CEO returned the Office for Continuing Education and Training (OCET) to the Dean for Community and Continuing Education (link).
The Chancellor meets weekly with the Administrative Staff Council to discuss staffing needs at the College. Instead of just replacing faculty and staff when vacancies arise, there is a review of the College’s strategic directions to determine where the position would be used most effectively. (vacancy policy -- LP will deliver). A list of vacancies is monitored regularly (tier vacancy list). In addition, at least once a year the Chancellor and Administrative Staff reviews the College’s organizational chart to ensure that all positions are correctly placed. Any discrepancies are correct as necessary (Jan 2017 memo, Revised organizational chart).

**Delegating Authority for Effectiveness**

Leadership at the College is delegated to the vice chancellors based on traditional educational divisions and needs of the institution. The Chancellor has charged the Vice Chancellor of Administrative Services with managing the budget for the campus. The Chancellor and the VCAS allocate an operating budget to each Vice Chancellor, dean, department chair and unit head. Each area is tasked to manage its own budget. Within the budget, there are categories for payroll expenses and operating expenses. Every quarter, the Vice Chancellor for Administrative Service and the budget manager review the expenditures with the Chancellor and an update to the budget expenditures are provided to each budget area. If the expenditures are increasing disproportionately in any area, the Chancellor addresses the issue immediately.

The Chancellor delegates responsibility to the Vice Chancellor for Academic Affairs to supervise and manage all the instructional units on campus as well as instructional support units such as the Library and Learning Resources (LLR) and the Center for Excellence in Learning, Teaching, and Technology (CELTT).

Finally, the Vice Chancellor for Student Affairs is tasked to oversee the counseling and academic advising of targeted student populations, support student activities, address issues regarding Title IX, student grievances, and the student conduct code, and oversee student services such as Admissions, Records, Graduation, and Financial Aid.

All Vice Chancellors implement UHCC policies, aligned campus policies, and campus operational procedures that have a direct impact on their areas. The Administrative Staff Council, AGOs and CAC vet all campus policies and procedures before the Chancellor gives her approval (see policy development policy).

At times when there is a need to provide additional support for new initiatives that support student success, and overall college effectiveness, the Chancellor provides resources to the Vice Chancellors in the form of additional funding for non-instructional teaching equivalencies (TE) and/or overload or overtime pay. This additional funding allowed for the designation, for
example, of learning outcomes assessment coaches to support all faculty and staff in improving assessment practices. The assessment coaches (assessment coach description) have developed workshops, a website, handbooks, and conducted one-on-one coaching for campus individuals to adopt and effectively use assessment. Other uses of TE and overload are found here.

**ANALYSIS AND EVALUATION**

The CEO plans, oversees, and evaluates an administrative structure organized and staffed to reflect the institution. When appropriate the CEO delegates authority to administrators and others within the College.

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**IV.B.3 - Through established policies and procedures, the CEO guides institutional improvement of the teaching and learning environment by:**

- Establishing a collegial process that sets values, goals, and priorities;
- Ensuring the College sets institutional performance standards for student achievement;
- Ensuring that evaluation and planning rely on high quality research and analysis of external and internal conditions;
- Ensuring that educational planning is integrated with resource planning and allocation to support student achievement and learning;
- Ensuring that the allocation of resources supports and improves achievement and learning; and
- Establishing procedures to evaluate overall institutional planning and implementation efforts to achieve the mission of the institution.

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**EVIDENCE OF MEETING THE STANDARD**

The Chancellor guides the institutional improvement of the teaching and learning environment through established systems policies and procedures and by incorporating constituent voices in matters of college governance, and particularly faculty input in academic and professional matters.

*Collegial Process of Decision Making*
When the CEO took office June 2016, one of her first tasks was to finalize for the College its Mission, Vision, and Values statements and the strategic plan. She sought feedback from the campus in the final drafting of the Vision statement, Mission statement, Values statement, and Strategic Directions (Survey, feedback). She worked through how the College defines itself as an indigenous serving institution (Sep 2016 forum). She worked closely with Kalaualani (the Native Hawaiian Council) to articulate the values of the College. She initiated a campaign to advocate for civility across the campus (see IV.B.1.) (civility pledge). At all times, feedback and recommendations were solicited from the constituent groups and collectively shaped the direction of the College.

**Performance standards**

Kapiolani Community College is one of seven community colleges under the University of Hawai‘i system. The University of Hawai‘i Community College (UHCC) Policy 4.203 establishes the framework for institution-set standards for student achievement for all community colleges. (UHCC policy 4.203). UHCCP 4.203 reflects the College’s institution-set standard for course success, which had been documented in the College’s annual reports to the Commission.

Beyond course success targets and after consultation and negotiation with the campuses, the UHCC sets the baseline and percentage increases for most of the College’s student achievement goals, which are documented in the College’s Strategic Plan. Each semester, the Vice President of the Community Colleges reports on how the College achieved their goals and how they compared to their sister institutions. (Morton presentation)

On the program level, the Annual Report of Program Data (ARPD) includes effectiveness indicators, showing the annual successful completion rates. The three-year average of these rates are the program set standards for student achievement (TBD). Every three years each instructional and non-instructional program undergoes a comprehensive review process. The program review process analyzes results from program student learning outcomes and reviews improvement plans for student achievement linked to the College’s strategic plan. The data from the ARPDs are analyzed, reviewed, and where appropriate, reflected in updated action plans. There is an overarching commitment to continuous quality improvement (UHCC policy 5.202). (this policy to be updated, possibly spring 2018)

The student achievement performance standards for CTE programs that award licenses are established by their respective accrediting agencies, which set national institutional standards for examination pass rates. The College supports the program accreditation needs of its departments and programs.

This is the work on the ISS. Connect with I.B.3 and ER 9, 11.
Ensuring that Evidence is Actionable

The College uses its Office of Institutional Effectiveness to guide the access, use and display of actionable data for the college faculty and other professionals. Evaluation and planning rely on the following high quality sources of research and analysis:

- Department of Education on student educational needs [http://www.hawaiipublicschools.org/VisionForSuccess/SchoolDataAndReports/Pages/home.aspx](http://www.hawaiipublicschools.org/VisionForSuccess/SchoolDataAndReports/Pages/home.aspx)
- It highlights each campus's demographics, on-time graduation rates, and number of students on the free/reduced lunch program to name a few. [http://arch.k12.hi.us/school/ssir/2016/honolulu.html](http://arch.k12.hi.us/school/ssir/2016/honolulu.html)
- University of Hawaii Community College analytics on meeting workforce demands [http://www.uhcc.hawaii.edu/OVPCC/analytics/index.php](http://www.uhcc.hawaii.edu/OVPCC/analytics/index.php)
- Kapiolani Community College’s Office for Institutional Effectiveness [ofie.kapiolani.hawaii.edu](http://ofie.kapiolani.hawaii.edu)
- External organizations such as American Association of Community Colleges, Western Alliance of Community College Academic Leaders, Achieving the Dream, etc.

These sources are reviewed and high impact practices are researched before planning. For example, research from Achieving the Dream indicated that the practice of intrusive advising resulted in higher rates of persistence. In 2015 the College developed a 3-stage new student orientation program to improve enrollment. In 2017, the percentage of students who applied and were admitted and registered increased from 53 percent to 74 percent (link, slide 6).

One more example? Pending response from Patricia
- Community Health Worker Program. Maybe based on CCSSE? Or URE? Check with Patricia on the research that supported the development of the School Health Aide and Community Health Worker programs.

Ensuring that educational planning is integrated with resource planning and allocation to support student achievement and learning.

The State of Hawaii does not mandate master educational plans. For our College, the Chancellor and the VCAS review the state appropriated budget and tuition revenues in determining allocations to departments, units, and programs to cover personnel and operational costs. Based
on action plans developed in the ARPDs and CPRs, departments, units, and programs may request funding beyond their base allocations to implement program improvements. The approval process includes review and prioritization of requests by program administrators, AGOs, the CAC budget workgroup, and the CAC. To ensure that educational planning is integrated with resource planning and allocation the Chancellor is the final decision maker in all budget decisions. In close collaboration with the Vice Chancellor of Administrative Services, the Chancellor reviews allocation of resources to ensure the campus programs and support units have adequate resources. Decisions regarding the College’s personnel and operational budget are made through the summer and the final budget is communicated to the College in October of each year.

In the fall 2016, to increase college engagement in the planning process through student success, the Chancellor asked the Student Success Coordinator to modify the UHCC System’s Student Success Pathway. The Kapiolani CC SSP maps out all of the College’s efforts that contribute to student success. This model integrates campus strategic outcomes and goals, KCC’s mission statement, programs initiatives, and plans on how the campus would meet the needs of their students. The Student Success Coordinator meets regularly to update the Chancellor on the creation, development, and implementation of the College’s plans. Effective Spring 2017, every academic program, every support unit, and every administrative unit develops an annual plan in support of the Student Success Pathway. These plans are monitored and administrators report progress at quarterly intervals.

**Purposing Resources to Meet Needs**

Major institutional decisions involving the allocation of resources must be tied to achievement and learning through the strategic plan, SSP, ARPD, & CPR. These include allocations of resources such as:

- General funds, e.g. personnel decisions
- Grants (Research, Training, and Revolving Funds), e.g.
  - grant outcomes
  - professional development -- strategic plan, SSP, ARPD, & CPR
  - The College applies for grants to improve specific areas that address student learning outcomes and achievement. The Office of
- Donor support, e.g.
  - Lunalilo Scholars
  - Freeman Fdn
  - One-time donations to programs
- Tuition and Fees Special Fund (TFSF), e.g.
  - TFSF funds allocated to support personnel.
  - TFSF funds allocated to support operations. The department chairs and unit heads meet in the summer to plan for the upcoming academic year. Each
department chair, unit head, dean and vice chancellor meets with the Vice Chancellor for Administrative Services and the Budget manager to discuss personnel and operational budgets. An annual budget and a 5-year projected budget is generated by each area, reflecting the needs to support and improve achievement and learning in their areas. For instance, when the need for additional tutoring support was identified, a request was made to increase the budget. Funds were allocated from a Title III grant in response to the need.

- Teaching equivalencies (TE), overload, and overtime decisions -- strategic plan
- Professional development decisions -- strategic plan, SSP, ARPD, & CPR
- Supplemental TFSF. Resource allocation decisions for new requests outside of the annual budget are made through the ARF process. Requests must reflect identified needs that address the strategic plan, Student Success Pathway, ARPD, and CPR which are documents directly tied to student achievement and learning.

In the summer of 2017, to prepare for the the FY 2018 budget allocations, the VCAS surveyed all departments and units on their annual budget needs. The survey required the units to identify educational planning objectives and align their plans with Student Success Pathway and student learning (Nursing, Social Sciences). VCAS used this information in developing the operational budgets of each unit.

**Meta Evaluation College Processes to Meet the Mission**

The Chancellor has instituted a calendar (link) for reviewing its institutional plans. The major plans for the College are assigned a calendar month during which each plan will be assessed for effectiveness and modified if necessary.

Planning at the program level is guided by data and analysis completed during the production of the ARPD. As the ARPD is a system document, evaluation and revision takes place under the Office of the Vice President for Community Colleges. Until Spring 2016, a systemwide cross-functional group met at least once every semester to review the process and recommend improvements. Changes in personnel in the VP’s office have suspended that process; however, with the recent revision to the UH Board of Regents policy on program review, representatives from the UHCCs will again be meeting in 2017-2018 to review and update the policy that will serve as the basis for an updated College policy on comprehensive program review (link to ARPD website).

At the College, the climate survey (called closing the loop survey in 2016) included items asking for feedback from the College community regarding overall planning and implementation efforts in achieving the College’s mission. Feedback from the campus on the last iteration of the comprehensive program review in Spring 2014 [I have the document] will be integrated into the next revision of the College’s program review policy (K5.202).
In August 2017 and February 2018 the Director of OFIE conducted an assessment of a random sample of the College’s ARPDs to gauge how well they were tied to factors such as …. The first focus group session …. discussion of rubrics …. summary of findings …

**ANALYSIS AND EVALUATION**

The College meets the standard. The Chancellor guides the institutional improvement of the teaching and learning environment through established policies and procedures.

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**IV.B.4. The CEO has the primary leadership role for accreditation, ensuring that the institution meets or exceeds Eligibility Requirements, Accreditation Standards, and Commission policies at all times. Faculty, staff, and administrative leaders of the institution also have responsibility for assuring compliance with accreditation requirements.**

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**EVIDENCE OF MEETING THE STANDARD**

The Chancellor has the primary leadership role for accreditation and ensures that faculty, staff and administrative leaders have responsibility for compliance with accreditation requirements.

**Accreditation and Academic Quality**

The Accreditation Liaison Officer (ALO) is appointed by the Chancellor. The former ALO retired from this position after serving for ## years. In 2014, a temporary ALO was assigned from faculty until a more permanent ALO could be recruited. The current ALO was appointed based on her work during the 2014 Follow-Up Report. The ALO regularly reports to the Chancellor and the Administrative Staff Council on where the College is excelling and where improvements can be made.

The CEO participates fully in the writing of the ACCJC annual and fiscal reports, reviewing all reported data. During her tenure as Vice Chancellor for Academic Affairs she participated in writing all the comprehensive self evaluation reports. In preparing the 2018 ISER, the CEO reviewed each of the three drafts, provided feedback to the writing teams to stimulate conversation and move the process forward. The CEO has been on site visit teams and encouraged and fostered staff to participate in the process. A Vice Chancellor at the College was an accreditation commissioner, and for a period of time, acted as President of the commission board.
In May 2017, the CEO reminded the College that as it was a top priority in AY 2017, accreditation is the top priority for AY 2018. She reiterated this sentiment in the fall 2017 faculty and staff convocation.

She has invested considerably in professional development for herself and her staff. In spring 2017 the Chancellor went on an ACCJC site visit. The Chancellor and a team of 5 faculty members attended the April 2017 ACCJC conference in Irvine to learn more about ACCJC accreditation standards and best practices to address accreditation standards. The team came back from the conference with a renewed commitment to the College. Lessons learned and specific ideas that resulted from attending the conference can be found here.

She and a team of Kapiolani faculty and staff attended a full-day CCSSE workshop in Hawaii and is going with another Kapiolani contingent to a CCSSE conference in November 2017. She authorized support for members of the ISER writing team to attend ACCJC workshops in Guam, San Francisco, and Hawai‘i. The College funded training for College employees to attend an accreditation workshop in Hawaii in September 2016 and 40 employees attended an assessment workshop in March 2017. The ISER co-chairs encouraged members of the ISER team and other College employees to sign up for accreditation site visits. In the last two years the College has sent significantly more faculty and administrators to ACCJC site visits than in the past.

To continue with the work of improving learning outcomes assessment, the previous Chancellor provided Title III funds to purchase Taskstream, an assessment management system, to record and report on assessment achievements. The current CEO approved continued funding for Taskstream for 2017 to 2020.

The CEO has supported substantive teaching equivalency release time from instructional responsibilities for two faculty members to serve as assessment coaches (job descriptions) for their instructional colleagues. Two other coaches are working with student services. To promote best practices in assessment, the College has sent coaches to the WASC Assessment Leadership Academy. The four assessment coaches have created various trainings, a website (link), handbooks (links), and one-on-one coaching for campus individuals to adopt and effectively use assessment. This model of deploying assessment coaches to support faculty dates back to Fall 2011.

In addition, in August 2017, the Chancellor sponsored a Student Learning Assessment Colloquium, a one-day, all-day event to engage faculty in deeper discussions on their course assessment plans, assessment artifacts, and next steps (file) (note: need to update in January 2018.). In October 2017, the Chancellor invited faculty to participate in innovative assessment
pilots. The purpose of the Kapi‘olani Research Scholars Project is to stimulate meaningful action research on the part of faculty and professional staff to improve the outcomes of our students and advance the practice of teaching and learning (see memo and application). (note: need to update in January 2018.)

Assuring leadership in Accreditation

In December 2016, the Chancellor led a group exercise with the Chancellor’s Advisory Committee (CAC) to look at the various programs and units where perceived gaps exist. Together the team created various strategies to help eliminate and address these gaps. This exercise helped the members of CAC understand accreditation requirements, how the campus is already meeting the standards, and where improvements are needed. Outcomes from this meeting can be found in the CAC minutes (CAC ISER Questions and Discussion).

In the January 2017, the Administrative Staff Council discussed at length, in light of the commission’s standards, ways in which the College excels and areas that need improvement (1/23/2016 minutes). The Chancellor directed members of the council to report on their endeavors to initiate improvements (2/13/2017 minutes).

During Spring 2017, a draft assessment plan for the College was disseminated for feedback from the campus (memo and assessment plan). The Chancellor convened three forums and several meetings to listen to the faculty and provided an anonymous survey to gather feedback. Although most faculty who attended the sessions agreed that assessment is critical for teaching improvement, there was extensive and rich discussion about how the College should structure that process. In these gatherings the Chancellor responded to concerns, feedback, and the overall feelings of the campus. Feedback from the survey and emails and forum discussions were documented (4/19/2017, 4/20/2017, 4/28/2017). These discussions reflect the Chancellor’s commitment to the College and the meeting of accreditation standards.

An Administrative Leadership Feedback (ALF) survey was created and implemented by the Faculty Senate Assessment Committee in conjunction with the Staff Council. This survey was open to all employees at the College to provide feedback on the administrators’ leadership abilities. Results from the ALF reflect that the campus strongly believes that the Chancellor is knowledgeable and is committed to ensuring compliance to accreditation standards (attach ALF results). (Check with Pacheco).

ANALYSIS AND EVALUATION

The College meets the Standard. The Chancellor exercises primary leadership for accreditation and ensures that faculty, staff and administrative leaders have responsibility for compliance with accreditation requirements.
Standard IV.B.5. The CEO assures the implementation of statutes, regulations, and governing board policies and assures that institutional practices are consistent with institutional mission and policies, including effective control of budget and expenditures.

EVIDENCE OF MEETING THE STANDARD

The governing board of the University of Hawaii System is the University of Hawaii Board of Regents. The President assures the implementation of statutes, regulations, policies instituted by the Board of Regents. The President delegates the Vice President of the UHCC to implement the UH System policies specifically for the community colleges. The Vice President, in turn, delegates these duties to each campus Chancellor. The Chancellor assures that College’s practices are consistent with its mission and policies and assures effective control of the College’s budget and expenditures.

Ensuring Law and Policy

As a State of Hawai‘i institution, Kapi‘olani Community College is governed by statutes, regulations and policies from the State Legislature, which funds approximately 50 percent of the College’s operating budget. The rules and laws governing the University of Hawai‘i are the Hawai‘i Revised Statutes (HRS) 304A, Hawai‘i Administrative Rules (HAR) Title 20. (HAR) Title 20

The University of Hawai‘i operates under the Board of Regents policies, Executive Policies and Administrative Policies that govern all ten campuses of the University of Hawai‘i System, which includes three four-year institutions and seven community colleges. Where applicable, the University of Hawai‘i Community College System creates policies for all seven community college campuses that align with University of Hawai‘i policies, state statutes and regulations. In like manner, the Chancellor assures that Kapi‘olani Community College either complies with State statutes and regulations, Board of Regents, University of Hawai‘i Executive policies, Administrative policies and University of Hawaii Community College policies or creates policies or procedures that align with the aforementioned when required.

Mission Alignment
The University of Hawai‘i System, under the current President, created University of Hawai‘i Strategic Directions, 2015-2021. The four strategic directions—Hawai‘i Graduation Initiative (HGI), Hawai‘i Innovation Initiative (HI2), 21st Century Facilities (21CF) and High Performance Mission-Driven System (HPMS)—describe the University’s priorities for 2015–2021. http://blog.hawaii.edu/strategicdirections/files/2015/01/StrategicDirectionsFINAL-013015.pdf

From this framework, the University of Hawai‘i Community College System created University of Hawai‘i Community College Strategic Directions, 2015-2021. The plan is organized in six sections:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
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<tbody>
<tr>
<td>Hawai‘i Graduation Initiative - increasing the number of graduates and transfers and on the momentum to get students through to graduation and transfer more quickly.</td>
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<tr>
<td>Hawai‘i Innovation Initiative - workforce development linked to developing emerging sectors in Hawai‘i’s economy while simultaneously providing a stable workforce for the traditional employment sectors.</td>
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<tr>
<td>Modern Teaching and Learning Environments - ensuring that students and faculty have the learning and teaching environments appropriate for the 21st century and the sustainability practices to maintain those environments.</td>
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<tr>
<td>High Performance Mission-Driven System - practices and policies that capitalize on the University of Hawai‘i being a single system of higher education in the state that can provide students with smooth transitions from K-12 through the community colleges to the baccalaureate institutions in the most productive, cost-effective, and results-oriented manner possible.</td>
<td></td>
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<tr>
<td>Enrollment - the identification and goals for targeted currently underserved populations.</td>
<td></td>
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<tr>
<td>Implementing the Plan - the policy, practice, and communication models needed to ensure the overall success of this strategic plan.</td>
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http://uhcc.hawaii.edu/OVPCC/strategic_directions/

Beginning in fall 2014 through fall 2016, the Director of OFIE led a college-wide effort to create a new strategic plan for 2015 through 2021. He ensured that faculty, staff, and students, especially those representing the College’s Authorized Governance Organizations, attended and participated in University of Hawai‘i System and University of Hawai‘i Community College System meetings during the development of their respective strategic directions. The College’s participants worked on aligning the College’s strategic plan with the strategic directions of both systems and determining how best to serve our unique student population and community. Campus committees discussed and developed the mission, vision, and values statements and the priorities of the College’s strategic plan. The Director involved community groups to gather feedback on how best to support the workforce needs and communities that we serve (see standard I.A.). As a result, the College is aligned with the strategic directions of the University
of Hawai‘i System and the University of Hawai‘i Community College System and retains a clear focus of the College’s mission.

The Director of OFIE made regular presentations to the CAC on the development of the new Mission and Strategic Plan (7.7.2015 CAC meeting notes of mission draft). On July 7, 2016, at the Vice Chancellor’s Advisory Council summer meetings, the department chairs and unit heads worked with the Vice Chancellor for Student Affairs and her team to ensure that the initiatives from each department were aligned to KCC, UHCC and UH’s Strategic Plans. In October 2016, the CAC voted to approve the current strategic plan with amendments (10/4/2016 CAC minutes). The members of the CAC disseminated these updates and the minutes were shared with the campus.

**Financial and Budgetary Stewardship**

The College’s operating budget is a combination of an annual allocation of general funds appropriated by the State Legislature and student tuition and fees. Each College receives a budget allocation determined by the University of Hawai‘i system and the University of Hawai‘i Community College System. Each of the seven Community Colleges oversees their individual budgets with processes and guidelines from the University of Hawai‘i Community College System. State law requires that the College’s budget be balanced each year. In every year covered by this Self Evaluation, the College maintained the required reserve to maintain cash flow and address emergencies and balanced its budget (see III.D). The Kapi‘olani Community College’s budget and the expenditures are carefully monitored by the Budget manager, Fiscal Manager, and Vice Chancellor for Administrative Services.

Annually, the budget manager and the VC for Administrative Services meet with the Chancellor, Vice Chancellor, Deans, department chairs and unit heads to discuss and frame each area’s upcoming fiscal year’s annual budget and a 5-year budget projections. Beginning this fiscal year, the VCAS sent out a budget survey to all departments and units to check for alignment with mission and strategic plan through the ARPD, the ARF, or the Student Success Pathway. The discussions ensure that area budgets are framed by the institutional mission and strategic plan goals. Once the fiscal year budget for the College has been determined, the Chancellor sends a memo to the College describing the budget for the fiscal year.

- VCAS survey for annual budget projections
- ARF form
- Budget memo

The College allocates funds to area accounts in the fall and in the spring to monitor expenditures. If expenditures are higher than expected, the VCAS adjusts the spring allocations to maintain fiscal stability. The CEO, Vice Chancellor for Administrative Services and the
Budget Manager meet monthly to discuss the budget and make adjustments as needed. Every quarter, budget and expenditure spreadsheets are distributed to each account-holder via the Vice Chancellors and deans to ensure accountability and oversight.

**ANALYSIS AND EVALUATION**

The College meets the standard. The Chancellor assures that statutes, regulations and governing board policies are implemented and that the practices at the College are consistent with the mission and policies of the College, including the control of the budget and expenditures.

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**IV.B.6. The CEO works and communicates effectively with the communities served by the institution.**

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**EVIDENCE OF MEETING THE STANDARD**

At Kapiʻolani Community College the CEO works and communicates with the communities served by the institution.

**Conscientious Community Partnership**

The CEO meets with the various **advisory boards** at the College, mostly in the CTE program areas. The advisory boards are composed of professionals and inform programs of current and future needs in the specific industry and community. For example, the Nursing Advisory Board relays information on the changing needs of the community and its patients, including areas where more support is needed. In response to the need for medical support for low income communities, the Community Health Worker certificate was created ____ years ago. Training is provided at off campus sites embedded in the communities in which they will serve. In response to the need for health aides in the public schools, the College increased its program offerings.

The Chancellor also works directly with **local communities and community service providers**. For example, in order to meet the needs of a rapidly growing senior population, the State of Hawaiʻi Legislature instituted the Kupuna Education Center at Kapiʻolani Community College as part of an initiative addressing an aging local population and its need for long-term care. The mission of the Kupuna Education Center is to develop and provide training and education for the older adult community population in active aging, to provide family caregiver training, to create a quality and committed community health wellness workforce, and to coordinate this information with all of the University of Hawaii Community Colleges.

(Evidence)
In response to community needs, the College provides a certificate for the Adult Residential Care Home Operator. With this 24-hour course, Kapiʻolani Community College is among the institutions leading in the training of Registered Nurses (RNs) and Licensed Practical Nurses (LPNs), with a valid license, wishing to operate an Adult Residential Care Home (ARCH). Graduates from the ARCH program at Kapiʻolani Community College receive a Certificate of Competence, which is one of the requirements to become licensed as an ARCH primary caregiver in Hawaiʻi.

The Culinary Arts Department received a grant from Kaiser Permanente to purchase a food truck to not only feed the community but to offer health screenings and to teach community members healthy food options and recipes.

The Culinary Arts Department offers a comprehensive certificate program at the Women’s Community Correctional Center that aims to educate participants in professionalism, commitment and responsibility. The women work their way up from a beginner class to the intermediate level and finally the advanced level class in this four-stage certification culminating in a graduation ceremony where the women prepare food for the attendees. They earn 14 credits that will appear on their University of Hawaiʻi transcripts. Inmates learn real-life job skills and those who don’t complete the final, advanced stage of certification before they leave, can choose to continue their culinary training at Kapiʻolani CC.

For two years, the College offered "GoCook! Hawaii", a free fast track food service job training program for anyone 16 years and older, who was unemployed or underemployed, and looking for immediate employment in the food industry. Veterans received priority. The training was 12 weeks, 5 days per week, 8 hours per day. All training was conducted in a community college cafeteria. The trainee earned the equivalency of 4 college credits upon completion should they decide to return and enroll in a culinary program at any community colleges in the UH system in the future. Job referrals were provided at the end of the training. This program was funded by a grant from the US Department of Labor.

Since 2016-2017, the CEO has participated in Industry Sector meetings to gain insights into the needs of the state’s largest industries and future employers of our graduates. (Needs expanding over time.)

As an example of the CEO’s involvement with surrounding neighborhood boards, the recent construction of the Culinary Institute of the Pacific created concerns amongst neighboring residents. To listen and communicate with the community, the Chancellor attended the monthly community meetings at the start of her appointment and did a neighborhood walk-about,
meeting neighboring residents, listening to their concerns, and speaking on behalf of the College of how changes and improvements can be made to current construction issues.

In addition to engaging with domestic constituents, the Chancellor works and communicates with an extensive **global community** served by the College. The College has developed over 100 active agreements with institutional partners abroad especially in Japan, China, and Korea, leading all other community colleges in the State in the number of academic agreements with International institutions. The College is a leader in the UHCC system in the enrollment of international students constituting approximately 10 percent of the student population. Institutional agreements involve areas such as study abroad programs, course or program articulation, project collaboration and recruitment. The Chancellor plays a key role in forging and deepening these international agreements through actively interacting with leaders, teachers, and students from partner institutions abroad to discuss, create, and further possibilities for educational activities between the campuses.

**International Outreach**

This is an important component of the college mission.
Standard IV.C.1 The institution has a governing board that has authority over and responsibility for policies to assure the academic quality, integrity, and effectiveness of the student learning programs and services and the financial stability of the institution.

Evidence of Meeting the Standard

The Board of Regents (BOR) of the University of Hawai‘i is established under Hawai‘i Revised Statutes HRS§304A-104. The fifteen-member board is responsible for the general management and control of the University that incorporates all of public higher education, including the University of Hawai‘i Community College System. The Regents are appointed to five-year terms and represent either one of the four counties in the State or the public at large. Regents may be appointed to a second consecutive five-year appointment. One regent must be a student of the University. The student regent is appointed for a two-year term, and may be reappointed. [HRS§304A-104]

Members of the Board, drawn from a slate of nominees submitted by the Regents Candidate Advisory Committee (RCAC), are appointed by the Governor and confirmed by the State Senate. The RCAC consists of seven members, with four members appointed by the Governor and one member each appointed by the President of the State Senate, the Speaker of the House, and the Association of Emeritus Regents. The RCAC solicits nominations for the Regents, qualifies and screens the applicants, and presents to the Governor a slate of nominees for each vacant Regent position. [HRS§304A-104.6] [RCAC website]

The By-Laws of the Board of Regents include the specific organization and responsibility of the Board and its committees for academic matters, financial oversight, and general control of the University. This authority is further delineated through Regents Policies. [BOR By-laws] [Regents Policies] Several policies, including RP 4.201: Mission and Purpose of the University, do focus on assurance of academic quality and integrity and effectiveness as integral to the institution, a focus echoed in different ways in individual institutional mission statements. The Board executes these responsibilities through regular reporting and deliberation at Board and committee meetings. The Board also may elect to create special task groups to address specific issues, such as the recently created Integrated Academic and Facilities Plan (IAFP). [RP 4.201] [Board Minutes, 4-20-17, approving the report from the IAFP permitted interaction group]

Analysis and Evaluation
The College meets the standard.

The governing board is established in State statute and the Board is appointed through a process of open recruitment for Board member candidates followed by gubernatorial appointment and Senate confirmation.

The authority of the Board for the governance of the University is established in the State constitution and statute, and the Board has organized its by-laws, policies, and processes to carry out the full measure of Board governance, including the oversight of academic programs, student success, and fiscal integrity of the institutions.

The authority of the Board encompasses all components of the University, including the University of Hawai‘i Community College System and the individual community colleges.

**Standard IV.C.2** The governing board acts as a collective entity. Once the board reaches a decision, all board members act in support of the decision.

**Evidence of Meeting the Standard**

The primary policy governing board interaction among board members and with the broader University community is Regents Policy (RP) 1.202, Relationship of the Board to Administration and University. Specifically, Section III.A.2.B of the policy states that:

“Except as specifically authorized by formal action, no member of the board can represent the board within the university and no member shall interfere, engage in, or interact directly with the campuses without prior authorization from the chairperson. All meetings between board members and any member of the administration, including the president, shall be authorized by the board’s chairperson and arranged through the secretary and/or with the full knowledge of the secretary. In addition, no unilateral action of a member of the board has the authorization nor support of the board; and the authority of the board reposes in the board as a whole. Likewise, all communication from the president and any members of the administration to the members of the board must flow through the secretary unless otherwise authorized.”

The policy also delineates and structures the communication between the Board and the University administration, including the requesting and providing of information to and from the Board and the administration. [RP I.202]

The policy is further emphasized through the Regents Reference Guide that is made available to all incoming Regents and published on the Board website. The handbook is based on best
practices drawn from the Association of Governing Boards, and includes expectations of regents, including the responsibility of individual regents to:

“Serve the institution or system as a whole. Individual trustees have a responsibility to support the majority action, even when they disagree.”

[Regents Reference Guide] [Evidence link to Board Self-Evaluation to be done in late Fall 2017, per Vice Chair Moore.]

Analysis and Evaluation

The College meets the standard.

A review of Board minutes did not disclose any instances of Board members acting outside the constraints of RP 1.202.

Standards IV.C.3 The governing board adheres to a clearly defined policy for selecting and evaluating the CEO of the college and/or the district/system.

Evidence of Meeting the Standard

As the governing body of the University of Hawai‘i System, the Board of Regents selects and evaluates the University President. RP 2.203, [full title] establishes the evaluation protocols for the University President, including an annual self-assessment by the President, additional data collection by the Board, a preliminary meeting between the Board and the President, and a final evaluation after the President responds to the preliminary assessment. [RP 2.203]

System CEO Selection

While there has not been a search for the Vice President of Community Colleges (VPCC) since the position was re-established in 2005 and the current Vice President appointed to oversee the re-establishment of the community college system, the President would employ a similar recruitment/selection process should the position of Vice President become vacant. In a two-step process that differentiates the functions of appointment and approval, the President would make a recommendation for VPCC to the Board of Regents, which has the final approving authority for that position.

Campus CEO Selection

The process for selecting the Chancellor of the College is managed by the Vice President for Community Colleges. The search process involves the creation of a 15 to 20-member screening
committee composed of representatives from various college constituencies and the community. Nominations for members of the screening committee are solicited from governance groups. The Vice-President determines the final composition, based on ensuring broad and equitable representation within the screening committee.

The screening committee reviews the current position description, establishes any special desirable qualifications based on the needs of the College, and prepares a prospectus for interested candidates. Announcements of the vacancy are made through the University online position recruitment, in local and national publications, and through notices to various professional groups. The applicant pool is screened and reduced to a number of first-round candidates who are interviewed by the committee through video conferencing. The committee then recommends three to five finalists who are invited to in-person interviews with the screening committee and with various constituency groups on the campus. The campus visit includes a public presentation by the candidate. During the campus visit, the Vice President for Community Colleges and the University President also conduct interviews of the candidates. Feedback from the various interviews and public presentations are provided to the Vice President. The authority for appointment of the College Chancellor is delegated to the Vice President for Community Colleges, with final approval of the appointment by the President of the University; a public announcement is made, and the selected candidate is also placed on the agenda of the Board of Regents to ensure that the Regents are fully informed of the selection process and the selected candidate. [Evidence link to search procedures]

While the procedures employed have been consistently used in multiple searches over the past several years, the procedures had never been codified in a University of Hawai‘i Community Colleges Policy document (UHCCP.) As a result of the current self study, a new UHCCP has been created, documenting the recruitment and selection process of the Chancellor for the College. [Evidence link to new UHCCP, development in progress.]

_UH CEO Evaluation_

Evaluations are conducted in executive session at a public Board meeting with the summary results of the evaluation also made public and included in Board minutes. The posted agenda items and subsequent minutes for the past three Presidential evaluations are provided as evidence. [Evidence link to BOR agenda and minutes regarding President’s evaluation - 2016-2017 needed]

_UHCC and CC Campus CEO Evaluation_

The Board delegates the evaluation of the Vice President for Community Colleges to the University President, and the evaluation of the individual college Chancellors is further
delegated to the Vice President for Community Colleges. The annual evaluation of both the Vice President for Community Colleges and the Chancellors is governed by Executive Policies (EP) 9.203, Evaluation of Board of Regents Appointees, and EP 9.212, Executive/Managerial Classification and Compensation [EP 9.203] [EP 9.212]

Executive Policies establish an annual review that includes a 360-degree assessment by the individual, as well as his/her peers, subordinates, and constituents, of the executive’s performance. The individual self-assessment also includes a review of accomplishments and goals set for the review year, and the establishment of goals for the upcoming year. The evaluation information is then discussed between the supervisor and the executive being evaluated. The results of the evaluation impact both continued employment and compensation increases. [360 Questionnaire] [EP Exec Eval?]

The evaluation system is reviewed on a regular basis. In the 2016-2017 review, two changes were adopted. First, an additional question was added to the 360 instrument to allow the respondent to assess the performance of the executive in furthering the student success agenda. [Evidence link to 360 questions, including the new question on student success] Second, the categories of performance rating were changed to better reflect the gradations in overall performance. Each executive/managerial employee is now rated as exceptional, exceeds expectations, meets expectations or does not meet expectations. [Evidence link to memo establishing the new categories]

The University of Hawai‘i Community Colleges system further refines the annual evaluation of executive personnel, including Chancellors, through UHCCP 9.202, Executive Employees Performance Evaluation. This policy delineates the requirements for the respondents in the 360 evaluation, and also adds the college’s attainment of its strategic goals as a component of the Chancellor’s evaluation. [UHCCP 9.202]

Analysis and Evaluation

CEO Selection

The college meets the standard.

The procedures used to recruit and select the Vice President and the college chancellors involve a broadly representative screening committee, extensive solicitation of applicants, multiple levels of interview, and public visitations of the finalist candidates to the campus. The President of the University makes the final selection of the Vice President, subject to approval by the Board of Regents. The Vice President for Community Colleges makes the final determination of the Chancellor, subject to approval by the President.
CEO Evaluation

The college meets the standard.

Annual evaluations involving 360 evaluations, assessment of goal attainment, and progress toward strategic goals have been conducted for the Vice President and all college Chancellors each year. The results of the evaluation are used to set goals for the upcoming year, establish performance ratings, and in determination of merit-based salary increases, when available.

**Standard IV.C.4.** *The governing board is an independent, policy-making body that reflects the public interest in the institution’s educational quality. It advocates for and defends the institution and protects it from undue influence or political pressure.*

**Evidence of Meeting the Standard**

The autonomy of the University and related independent authority of the Board of Regents is embodied in Article X of the State Constitution. Section 6 of Article X specifically states that:

“There shall be a board of regents of the University of Hawaii, the members of which shall be nominated and, by and with the advice and consent of the senate, appointed by the governor from pools of qualified candidates presented to the governor by the candidate advisory council for the board of regents of the University of Hawaii, as provided by law. At least part of the membership of the board shall represent geographic subdivisions of the State. The board shall have the power to formulate policy, and to exercise control over the university through its executive officer, the president of the university, who shall be appointed by the board. The board shall also have exclusive jurisdiction over the internal structure, management, and operation of the university. This section shall not limit the power of the legislature to enact laws of statewide concern. The legislature shall have the exclusive jurisdiction to identify laws of statewide concern.” [State Constitution, Article X]

In carrying out its responsibilities, the Board leadership often testifies at legislative hearings on matters relating to the University, and meets with key State legislators on various bills and budget matters. These legislative communications are coordinated and consistent between the Board and the University’s administrative legislative coordinator.

**Analysis and Evaluation**

The college meets the standard.
The autonomy of the University is established in the State constitution. Given the authority of the Legislature to enact laws of statewide concern, the Board remains attentive to whether such laws might impede the University and Board from exercising its constitutional authority.

In 2012, a fraudulent fundraising event for University athletics led to extensive legislative hearings and bills introduced relating to management and control within the University. The Board of Regents responded by creating an Advisory Task Group on Operational and Financial Controls Improvement (ATG) to conduct its own audit of University operations. The ATG, comprised of both Regents and respected community members, conducted an audit of policies and practices, evaluated the processes against best practices in higher education, and made recommendations in several areas for improvement. The Board considered the reports, and made governance and policy changes in accordance with some of those recommendations. [Evidence link to BOR audit reports] (What “governance and policy changes” were made in response to the ATG audit?)

By taking the initiative to address the issues raised by the Legislature in a comprehensive and very public manner, the Board exercised not only its responsibility for oversight and management of the University, but also its authority to act on matters relating to the University, and protecting the institution from undue influence and political pressure.

**Standard IV.C.5.** The governing board establishes policies consistent with the college/district/system mission to ensure the quality, integrity, and improvement of student learning programs and services and the resources necessary to support them. The governing board has ultimate responsibility for educational quality, legal matters, and financial integrity and stability.

**Evidence of Meeting the Standard**

Both by the structure and responsibilities established for its standing committees and its Regents Policies, the board acts to fulfill its responsibilities as the single provider of public higher education in the State.

The board has modified the University mission statement twice in the past several years. In 2009 the Regents adopted a change in the mission that made explicit the University’s responsibility and commitment to the success of Native Hawaiian students and the desire for the University to be a model indigenous serving institution. In 2014 the Regents acted in response to a student initiative to expand the mission to include sustainability as a core responsibility and value for the University. [RP 4.201, Mission and Purpose of the University] This subsequently led to the creation of a new policy on Sustainability, RP 4.208, illustrating the alignment of
mission and policy. [RP 4.208] Work on a new policy focused on alignment of programs with the mission is currently in process.

As stated in RP 4.201, Section C.b, “The Board approves a mission statement that elaborates the basic system mission, articulating those qualities common to the system as a whole. At a minimum, the system mission incorporates the vision, purpose, and common values of the university system, emphasizing the fundamental commitment to access and quality.” Policy RP 4.201, Section C.a also differentiates the basic unit missions (four-year and two-year institutions), which are further articulated in individual campus mission statements.

Board policies and strategic plans are aligned and guide the University in fulfilling its overall mission. [Evidence link to BOR Bylaws and Policies] The role of community colleges within the University System is defined in RP 4.207. [RP 4.207]

Analysis and Evaluation

The college meets the standard.

A review of the board bylaws, committee structure and responsibilities, policies, and meeting minutes reflect the broad compliance with the overall expectations of Board management, quality control, and fiscal oversight.

**Standard IV.C.6.** The institution or the governing board publishes the board bylaws and policies specifying the board’s size, duties, responsibilities, structure, and operating procedures.

Evidence of Meeting the Standard

The Board of Regents home page ([http://www.hawaii.edu/offices/bor/](http://www.hawaii.edu/offices/bor/)) includes links to the Board Bylaws and Policies. [Evidence link to display of the BOR home page] The Bylaws include sections defining the Board membership and organization, the officers and duties of each officer, the standing committee structure of the Board and the scope of each committee, the meeting requirements for both committees and the Board, and other operating procedures including parliamentary procedures, establishment of quorum, voting rules, access to legal counsel and outside consultants, and procedures for modifying the bylaws, which may be done through a two-thirds vote of the Board. The Bylaws also include the conflict of interest requirements for Board members. [Evidence link to full Bylaws]

Analysis and Evaluation
The college meets the standard.

The Bylaws are published and available to the public and include all required elements of the standard.

**Standard IV.C.7.** The governing board acts in a manner consistent with its policies and bylaws. The board regularly assesses its policies and bylaws for their effectiveness in fulfilling the college/district/system mission and revises them as necessary.

**Evidence of Meeting the Standard**

As a result of a recommendation from the previous comprehensive accreditation review, the University and Board developed and implemented the UH Systemwide Policies and Procedures Information System (PPIS). [PPIS home page] The PPIS documents all of the Board policies and the related University executive policies and administrative procedures.

The features of the PPIS include:

- Description of the PPIS with frequently asked questions on the PPIS home page
- Easy public access to all policies, including from the Board of Regents home page
- Policy header that includes the effective date of each policy, the dates of all prior amendments to the policy, and the next scheduled review date. While Regents Policies may be amended on as-needed basis, the board policies are also on a staggered three-year review cycle [Evidence link to a sample policy]
- Links from the executive policy and/or administrative procedure to the related Regents policy
- Automatic notification to interested parties of any change in policy [Evidence link to sample notification]

When the PPIS was implemented in 2014, all policies were recodified to be consistent with the new system. The policy review dates were set as August 2017 for Chapters 1-4, August 2018 for Chapters 5-9, and August 2019 for Chapters 10-13. The August 2017 review was conducted and included

1. [To be described—will cite 11-1-17 meeting of BOR Committee on Personnel Affairs and Board Governance, P.I.G meetings, consultation with VPs, and other.]

As a result of the review policy changes were implemented in the following policies

2. [To be described—will cite Policy Review Summary and individual policy action recommendations]

(Are the Bylaws reviewed in the same way as the Policies? Where is this mandated? Who is consulted?)

(NOTE: Board Review of Policies, Chapters 1-4 is currently in progress; we will complete this section in Spring 2018.)
Analysis and Evaluation

The college meets the standard.

The Board policies are publicly available through the Board of Regents home page and are managed through the comprehensive PPIS. The PPIS system provides timely notification to all interested parties of policy changes and establishes a review cycle for all policies.

The review cycle for Chapters 1-4 was initiated as scheduled in August 2017 and resulted in the review of twenty-eight policies. [XX] policies were amended through the review process.

All policies are current with their review cycle. A review of Board minutes confirmed that board actions were in compliance with board policies. Policy changes were also compliant with all consultation requirements established by Chapter 89 of the Hawaii Revised Statutes, the public employee collective bargaining law.

An examination of the PPIS system did reveal that while all changes to executive policies and administrative procedures generated automatic notices of change, changes to Regents Policies were published through XXX. In response to this finding, the PPIS was modified to include automatic notification of changes in Regents Policies as well. [need to verify we want to do this]

Standard IV.C.8. To ensure the institution is accomplishing its goals for student success, the governing board regularly reviews key indicators of student learning and achievement and institutional plans for improving academic quality.

Evidence of Meeting the Standard

The Board has established strategic goals for the University and its component colleges in four key areas:

- Hawai‘i Graduation Initiative focusing on student success
- Hawai‘i Innovation Initiative focusing on research and innovation and commercialization of University research endeavors
- Twenty-first century facilities, including eliminating the deferred maintenance backlog, modernizing teaching and research facilities, and sustainability
- High performing, mission-driven system, including developing efficiencies and effective strategies taking advantage of the University’s role as the single system of public higher education in the state.

These key goals are further articulated in and aligned with the strategic goals of the UH Community College system and of the individual community colleges and other campuses.
When feasible, the goals are quantified with targeted incremental growth or improvement measures. [Evidence to BOR minutes endorsing strategic plan; maybe also to the plan itself?] [UHCC Strategic Plan] [Individual campuses may insert their plan here?]

The Board regularly receives updates on the University’s progress in meeting these strategic goals through data on established metrics and trends, and presentations at either board meetings or meetings of the academic and student affairs committee. [Evidence link to BOR minutes] The Board has instituted policies such as performance funding that are directly related to the student success goals. Additionally, the Board has sought to gain a better understanding of the issues impacting student success through a series of reports that explore topics such as financial aid, enrollment management, workforce planning, and student pathways. [Performance Funding Reports]

The Board meets on a rotating basis at the campuses in the system; it receives a briefing from the host campus on its progress toward meeting the student success agenda.

Analysis and Evaluation

The college meets the standard.

The Board has adopted strategic goals related to student success with specific metrics and targets for each major unit, including the community colleges. The community colleges have adopted strategic goals that are consistent with these system goals and that extend the goals and targets to the individual community colleges. [CC campus Strategic Plan]

**Standard IV.C.9.** *The governing board has an ongoing training program for board development, including new member orientation. It has a mechanism for providing for continuity of board membership and staggered terms of office.*

**Evidence of Meeting the Standard**

All new Board members receive a full-day orientation that consists of two major components. The first is an introduction to University functions, governance, and strategic directions. The second component deals with Board governance, processes, ethics, and conduct. All new Board members receive a copy of the Reference Guide as a part of the orientation. Additionally, beginning in 2017, new Board members are paired with a more experienced Board member, who serves as a mentor to the incoming member. [BOR Bylaws] [Evidence link to Board orientation and to Board Reference Guide] [HRS 26-11]
Board members regularly participate in governing board professional development through attendance at conferences of the Association of Governing Boards and the Association of Community College Trustees. [Evidence link to attendance at AGB/ACCT over the past several years]

The Board also organizes training for its members as a part of regular Board retreats or Board committee meetings. For example, during the 2016-2017 academic year, the University external auditor conducted a four-part training session for the Board independent audit committee, drawn from the American Institute of Certified Public Accountants (AICPA) handbook, covering the primary duties of an audit committee, expertise, understanding processes and controls, federal government implications, and roles and responsibilities of the external auditor, the internal auditor, and management. [Evidence link to Board minutes introducing the AICPA sessions]

Analysis and Evaluation

The college meets the standard. New Board members are provided with a comprehensive orientation and related materials and with a mentor from among the experienced board members. Professional development is provided through attendance at national board professional associations and through training provided at Board meetings.

In 2017 the Board updated its committee structure to modify the personnel committee to also include board governance. Among the added responsibilities for the committee is ensuring that education and development pertinent to Board service is provided for Board members.

**Standard IV.C.10.** Board policies and/or bylaws clearly establish a process for board evaluation. The evaluation assesses the board’s effectiveness in promoting and sustaining academic quality and institutional effectiveness. The governing board regularly evaluates its practices and performance, including full participation in board training, and makes public the results. The results are used to improve board performance, academic quality, and institutional effectiveness.

**Evidence of Meeting the Standard**

Regents Policy 2.204 establishes the process for board self-evaluation. [Evidence link to RP 2.204] In 2017, the Board bylaws were amended to expand the role of the Personnel Committee to a Committee on Personnel and Governance, with explicit responsibility for managing the Board evaluation process. [Evidence link to BOR bylaws]
The Board conducted its evaluations in 2014 on November 10, 2014. Additionally, in 2012-2013, the Board undertook a comprehensive audit of the University operations, including Board functions and structure, and implemented significant changes in response to the audit recommendations. The Board has drawn from the Association for Governing Boards as a guide to structuring and evaluating its operations.

Analysis and Evaluation

The college meets the standard.

The Board uses the results of its evaluation to improve its operations. For example, in 2015 the Board evaluation included an assessment of whether the Board committee structure adequately aligned with the strategic directions of the University. The concern was that the then-current structure of having an academic affairs committee, a student affairs committee, and a community college committee resulted in un-coordinated conversations about student success. After debate and consultation, the Board acted to consolidate the three committees and focus the committee responsibilities on the student success agenda. At the same time, the Board acted to create a committee on research and innovation, also in alignment with the University strategic directions.

While the Board has actively engaged in self-evaluation and acted in response to those evaluations, the evaluation schedule has not been scheduled in a formal, regular manner. Partly in response to this assessment, the Board acted to expand the personnel committee to include governance. Among the described responsibilities of the expanded committee are oversight of the evaluation process and the regular review of Board policies.

(Note: Can add more detail if the new committee formalizes some of the evaluation procedures; cite RP 2.204, now under review.)

Standard IV.C.11. The governing board upholds a code of ethics and conflict of interest policy, and individual board members adhere to the code. The board has a clearly defined policy for dealing with behavior that violates its code and implements it when necessary. A majority of the board members have no employment, family, ownership, or other personal financial interest in the institution. Board member interests are disclosed and do not interfere
with the impartiality of governing body members or outweigh the greater duty to secure and ensure the academic and fiscal integrity of the institution.

Evidence of Meeting the Standard

Article X of the Board of Regents Bylaws establishes the conflict of interest policies and procedures for regents. [BOR Bylaws] Regents are informed of the ethics requirements during their initial orientation.

Regents Policy 2.206, Policy on Regents as Employees, also describes the conflicts of interest that may arise when Regents are also active employees of the University and the conditions under which such Regents need to recuse themselves from actions impacted by their employment status. [RP 2.206]

Regents are also subject to public laws governing ethics behavior. Regents must file annual financial disclosure forms with the Hawai‘i State Ethics Commission. These disclosures are open to the public. The Board has also included a Board education presentation by the State Ethics Commission Executive Director as an agenda item at its regular meetings [Evidence link to January 26, 2017 minutes and to Ethics Commission presentation]

Analysis and Evaluation

The college meets the standard.

The Board is subject to both State ethics laws and to its own bylaws and policies relating to ethics and conflicts of interest. The laws and policies cover all of the potential conflicts identified in the Standard. Board members are informed of the ethics requirements through their initial orientation, and through regular board professional development.

Potential ethics concerns are routinely identified during Board meetings and the Regent is either recused from action and deliberation on the agenda item, or the potential conflict is determined not to preclude participation. The University general counsel is available at Board meetings to help resolve the determination of potential conflicts of interest.

No evidence exists for Board members having acted in a manner inconsistent with the established ethics bylaws and policies.

Standard IV.C.12. The governing board delegates full responsibility and authority to implement and administer board policies without board interference and holds the CEO accountable for the operation of the district/system or college, respectively.
Evidence of Meeting the Standard

Regents Policy 2.202, Duties of the President, clearly documents the relationship between the Board of Regents and the University system president, and establishes the authority of the President to implement and administer Board policies. [RP 2.202]

The general policy on duties of the President is further refined in specific actions. For example, Regents Policy 9.218 on delegation of personnel actions describes those hiring actions reserved by the Board, those delegated to the President, and those that may be further delegated by the President. [RP 9.218]

The structure of the University of Hawai‘i System establishes this line of authority with the University System President, and through the President to the Vice President for Community Colleges and the individual college Chancellors.

Analysis and Evaluation

The college meets the standard.

While the Board maintains its responsibility for establishing overall strategic direction, university policies, and fiduciary management of the University, the Board does not actively engage in direct or detailed management of the community colleges or individual campuses.

When the Board does feel that a matter needs additional oversight, it may elect to create a task group to work on the topic. Task groups may be established by the chairperson upon authorization by the Board, and with such powers and duties as determined by the Board. The tenure of a specific task group shall expire at the completion of its assigned task.

An example of such a task group was focused on creating an integrated academic and facilities plan (IAFP) for the University System. The task group included both Regents and University administrative officials. Several meetings were held that led to the final recommendation to adopt a plan governing academic program planning and related facilities construction across the ten-campus University system. [Evidence link to Board creation of IAFP task group report and subsequent board adoption of the IAFP]

Standard IV.C.13. The governing board is informed about the Eligibility Requirements, the Accreditation Standards, Commission policies, accreditation processes, and the college’s accredited status, and supports through policy the college’s efforts to improve and excel. The
board participates in evaluation of governing board roles and functions in the accreditation process.

Evidence of Meeting the Standard

The Board is routinely informed about the status of accreditation at each of the community colleges.

In preparation for the Institutional Self Evaluation Report (ISER), the Board committee on academic and student affairs was presented with an overview of the accreditation process, including those standards relating to the governing board. [BOR committee minutes of March 8, 2017] Following this briefing, the Board acted to create a permitted interaction group to assist in the evaluation of board-related standards. A permitted interaction group is comprised of a subset of the regents and is allowed to engage in conversation and dialog about an issue without being subject to open meeting provisions. The permitted interaction group may not take an action but may only report to the larger Board or one of its committees. The permitted interaction group included Board leadership, the chair and vice chair of the academic and student affairs committee, and regents representing all the islands with community colleges. [Evidence link to BOR minutes of March 23, 2017] [Update narrative on development of IVC and IVD and meetings with the PIG…Members of the permitted interaction group established in spring, 2017, were provided a draft of IV.C…] [Continued update to reflect both the permitted interaction group involvement but also the ultimate presentation to the academic and student affairs committee and subsequent BOR approval]

Analysis and Evaluation

The college meets the standard.

The Board was fully informed of the accreditation requirements, the ISER process, and was directly involved in the assessment of board-related standards.
IV.D Multi-College Districts or Systems

IV.D.1 In multi-college districts or systems, the district/system CEO provides leadership in setting and communicating expectations of educational excellence and integrity throughout the district/system and assures support for the effective operation of the colleges. Working with the colleges, the district/system CEO establishes clearly defined roles, authority and responsibility between the colleges and the district/system.

Evidence of Meeting the Standard

The University of Hawai`i (UH) system is the sole provider of public higher education in the state of Hawai`i. The overall structure of the UH system is established in Board of Regents policy, *RP 3.201: Major Organizational Units of the University of Hawai`i*. The ten-campus UH system as a whole includes the University of Hawai`i Community College System (UHCC), which is comprised of seven community colleges. The UHCC is further established in Regents policy *RP 4.207: Community College System*. UH Maui College is accredited by the Western Association of Schools and Colleges (WASC), Senior division. The other six community colleges are accredited by the Accrediting Commission of Community and Junior Colleges (ACCJC), and function as the multi-campus system now being evaluated. [RP 3.201] [RP 4.207]

As an outcome of the reorganization in 2005, overall leadership of the University of Hawai`i Community College System is now provided by the Vice President for Community Colleges (VPCC), the CEO of the system. The VPCC is a member of the senior administration of the UH system, reporting directly to the UH system President. [Organizational Chart 1] The UHCC office, which oversees the management of and provides support in several areas including academic support, planning, personnel, facilities, and fiscal resources, is located on the island of O`ahu at a central site near the flagship campus in Manoa. The VPCC works with an Associate Vice President for Academic Affairs (AVPAA) and an Associate President for Administrative Services (AVPAS) to ensure support for the effective operation of the colleges at the system level. [Organizational Charts 3 and 4]

The VPCC further works with the Chancellors (CEOs of the individual colleges), delegating to them the authority for campus leadership. (See also IV.D.4.) [Organizational Chart 2] The CC
Chancellors may report through the Vice President for Community Colleges to the President of the UH System for University systemwide policy-making and decisions affecting all campuses; and to the Vice President for Community Colleges for leadership and coordination of community college matters. This flow of communication preserves the Board of Regents’ actions in supporting both individual campus autonomy and systemwide coordinated operations. [UH President’s website showing VPCC and Chancellors]

The delineation of functions and the differentiation of responsibilities between system and campus level is summarized in the UHCC-System Functional Map, most recently reviewed by the community colleges, and updated in Fall 2017. [Functional Map]

**Analysis and Evaluation**

The System meets this Standard.

Established policies and procedures clearly identify the positions of CEO for both the UHCC system (Vice President for Community Colleges) and individual campuses (Chancellors), and identify their authorized roles in providing leadership at multiple levels.

*IV.D.2 The district/system CEO clearly delineates, documents, and communicates the operational responsibilities and functions of the district/system from those of the colleges and consistently adheres to this delineation in practice. The district/system CEO ensures that the colleges receive effective and adequate district/system-provided services to support the colleges in achieving their missions. Where a district/system has responsibility for resources, allocation of resources, and planning, it is evaluated against the Standards, and its performance is reflected in the accredited status of the institution.*

**Evidence of Meeting the Standard**

The Vice President for Community Colleges (VPCC, the system CEO) provides primary leadership in ensuring that the colleges function effectively in fulfillment of their respective missions and in support of educational excellence and student success. The VPCC provides system-level support for campus operations through both a centralized system office, and through several bodies comprised of campus representatives.

The operations of the Office of the Vice President for Community Colleges (OVPCC) are overseen by two Associate Vice Presidents who coordinate centralized support services in the areas of Academic Affairs and Administrative Affairs. The Associate Vice President for Community Colleges Academic Affairs (AVPCCAA) provides leadership in operational policy-making pertinent to the development and implementation of CC systemwide academic plans,
goals and assessment. Specific areas of assistance and coordination include academic support services; academic planning, assessment and policy analysis; career and technical education; student affairs and workforce development. The office also supplies the system with strategic data on a number of measures that contribute to more refined assessment of the success of various programs and initiatives. [OVPCC website]

The Associate Vice President for Community Colleges Administrative Services (AVPCCAS) provides leadership in supporting all aspects of administrative services that contribute to the effective and efficient functioning of the colleges. Specific areas of assistance and coordination include budget and finance; compliance and Title IX; Equal Employment Opportunity; facilities and environmental health; human resources; and marketing and communications. [OVPCC website] Facilities management is one area that requires an additional level of coordination and prioritization. Capital improvement projects (CIP) for all campuses are managed at the UH-system level through the UH Office of Capital Improvements (OCI), established by the Board of Regents. General CC repair and maintenance and minor CIP projects are managed by the AVPCCAS, and individual colleges have responsibility for routine maintenance, and health and safety issues. Individual colleges have Long Range Development Plans (LRDP), which are used by the CC and UH systems to develop and justify minor and major CIP. [BOR creation of UH OCI] [campuses’ LRDPs]

The VPCC also meets regularly and works with several councils comprised of representatives of specific leadership constituencies at the community colleges: Council of Community College Chancellors [UHCCP 1.101]; Community College Council of Faculty Senate Chairs [UHCCP 1.102]; and Community Council of Native Hawaiian Chairs [UHCCP 1.104].

Each campus also mirrors the system level structure in having executive leadership for academic affairs and administrative services; where student services functions are coordinated under the Associate Vice President for Academic Affairs (AVPCCAA) at the system level, the Colleges maintain separate executive management for Student Services with either Vice-Chancellors or Deans. Vice-Chancellors for Academic Affairs (VCAAs), Vice-Chancellors for Administrative Services (VCASs), and Vice-Chancellors for Student Affairs (VCSA) or Deans for Student Services (DOSS) also meet with their counterparts from other campuses on a regular basis, extending the network of collaborative planning and decision-making, and mutual support. [Minutes of VCAA, VCAS, VCSA meetings]

In addition to these councils based on administrative positions, the CC system has also developed several system-level initiatives in support of student success and achievement. Primary among these is the Student Success Council, created in 2014 as an outgrowth of the UHCC system having joined the Achieving the Dream Initiative in 2006. [OVPCC website: Academic Affairs] The system-level council is mirrored in campus-based committees, which
are focused on four key initiatives: developmental education; college pathways; just-in-time, customized support services; and graduation and transfer. Coordination at the system level, balanced with campus-based activities, ensures that the colleges adhere to consistent standards, benefit from sharing of resources and best practices, and have support for developing models for implementation that fit best with the individual campus culture and mission.

Emerging initiatives that will require additional system-level coordination and effective interface with the individual colleges are a) Sustainability and b) Distance Education. With reference to Sustainability, an Executive Policy (EP 4.202) and a new Regents Policy (RP 4.208) signal a system-level commitment that will impact all campuses as they develop and share ideas and practices that best fit their individual needs and environmental conditions. Secondly, while the community colleges have utilized the modality of distance learning for quite some time, recent discussion has now focused on developing a coordinated and fully online Associate in Arts (Liberal Arts) degree at the CC system level, which will require renewed and proactive commitment from the CC system office and the individual campuses.

[EP 4.202] [RP 4.208] [OVPCC website-Sustainability] [OVPCC website-DE]

Analysis and Evaluation

The System meets this Standard.

The UHCC System is well-structured as a system to delineate the roles and responsibilities for the system as a whole on the one hand, and the individual colleges on the other. It provides for the benefits of the economies and efficiencies of scale through the coordination of academic and administrative functions in the system-level OVPCC (see also Standard III), while supporting the autonomy of individual campuses, the management structure of which significantly mirrors that of the system office.

Additional structures are in place that further ensure equal access to participation among the campuses, founded on regular communication and collaborative discussion and decision-making, including the Councils that meet with the VPCC, the committees of Vice-Chancellors, and the system-level initiatives such as the Student Success Council.

IV.D.3 The district/system has a policy for allocation and reallocation of resources that are adequate to support the effective operations and sustainability of the colleges and the district/system. The district/system CEO ensures effective control of expenditures.

Evidence of Meeting the Standard
The University system’s budget preparation and receipt of and further distribution of resources are governed by State law, primarily Chapter 37 of the Hawaii Revised Statutes (HRS). [Hawaii Budget Preparation Statutes] Biennial budget requests, financial plans and program performance reports are provided to the Governor and the Legislature in odd-numbered years; supplemental budget requests (to amend any appropriation for the current fiscal biennium) may also be submitted in even-numbered years. Operating and Capital Improvement Projects (CIP) funds for the UH system are appropriated by major organizational units, of which the UH Community Colleges is one.

The UHCC System Office, under the guidance of the Associate Vice-President for Administrative Services, coordinates the budget development and request process for the community colleges, based on the strategic plans of the UH system, the UHCC system, and the individual College Strategic Plan. [Crosswalk of strategic plans] The Community College Strategic Planning Council (SPC) is the primary body for ensuring systemwide participation in the UHCC strategic planning process. The membership of the SPC includes the Chancellor, Faculty Senate Chair, and Student Government Chair from each college; and the Vice President and the Associate Vice Presidents for the community colleges. [SPC page on the OVPCC website.] The SPC provides a planning context to ensure that system budget request categories and priorities are consistent with and align appropriately with UHCC Strategic Plan goals and objectives. The guiding principles of the Community College Strategic Academic Planning Process, which defines the role of the SPC, are codified in UHCCP #4.101: Strategic Academic Planning. The Vice President for Community Colleges has a functional responsibility for providing a fair distribution of resources that are sufficient to support the effective operations of the colleges.

Each college develops its own budget request (as described in more detail in Standard III.D.) At the UHCC system level, the seven CC Chancellors, with support from the Associate VPs and their staff, collectively review, categorize, and prioritize the individual college budget requests. A key criterion in approving campus budget requests is the extent to which they align with and support strategic planning goals. The individual college budgets remain intact at the campus level, but are consolidated at the UHCC system level for purposes of further integration in the overall UH system budget, which is ultimately submitted to the State Legislature.

While State general funds, allocated by the Legislature, provide the most significant funding source for the colleges, tuition revenues also constitute a major component of college budgets. Other sources of internal and extra-mural funds (e.g., Special funds, Revolving funds, grant funds, UH Foundation) may also be generated and retained by each college. The management of sources of funding other than general funds is guided by two UHCC Policies. [UHCCP # 8.000: General Fund and Tuition and Fees Special Fund Allocation] [UHCCP # 8.201: Unrestricted
Fund Reserve—General, Special, Revolving Funds] [New table showing individual college revenue sources by percent of total budget]

Since (2xxx), campuses have also had access to additional funds from the OVPCC, and more recently from the Office of the UH President, tied to the meeting of certain goals linked to performance measures focused on student achievement. These are in turn associated with system and campus strategic objectives. [Crosswalk of performance-based funding] Campuses have specific targets for incremental growth; meeting or exceeding them results in earning this additional funding. Unallocated funds are redistributed by the OVPCC for other campus or system initiatives, such as those associated with Student Success. (NOTE: more detailed narrative on the history of performance-based funding forthcoming from the OVPCC.)

In addition to fiscal resources, the UHCC system has also been attentive to the more effective use of vacant positions throughout the system. Since requests for new positions are subject to legislative approval and appropriation, the system must often reallocate a position from one unit or program to another, in order to be more responsive to such factors as enrollment growth, changing workforce needs, and program requirements. Another UHCC Policy was developed in November 2012 to more rationally and equitably manage and reallocate vacant positions. This policy created a system pool of those positions, from which campuses may request reallocation, based on documented need. [UHCCP # 9.495: Long-Term Vacancy Policy]

With reference to effective control of expenditures, recent actions taken between 2013-2016 provide an example of the controls in place to ensure accountability and sound fiscal management, as well as the way in which corrective action may lead to the creation and implementation of new policy and procedural guidelines. In the fiscal year ending June 30, 2013, the UH Office of Internal Audit (OIA) conducted operational reviews of the Culinary Arts programs at two community college campuses. The reports identified “operational and financial risks” and presented recommendations relating to the inventory management, financial analysis and reporting and other aspects of these programs. In Spring 2014 OIA conducted follow-up reviews to ensure implementation of recommendations. [Kapi`olani and Leeward Community College Culinary Arts Programs Status of Corrective Action, March 2015] The Internal Audit report was on the agenda of the May 12, 2015 meeting of the Board of Regents’ Committee on Independent Audit. Subsequent to the December 15, 2016 of that same committee, findings from the Internal Audit report were included in the UH system’s Annual Report on Material Weaknesses and Fraud, presented to the 2017 Legislature. [BOR Committee Minutes on Independent Audit Meeting, 5-12-2015] [BOR Committee Minutes on Independent Audit Meeting, 12-15-2016] [UH System Annual Report to the Legislature 2017] As one outcome of this case, the OVPCC created a new policy in March 2016 to provide better management and oversight for revenue-generating programs. [UHCCP # 8.200: Financial and Operational Oversight of Revenue-Generating and Financially Self-Sustaining Programs]
Analysis and Evaluation

The System meets the Standard.

Allocation of key resources (particularly funding and personnel) is guided by clearly established policies. Procedures allow all campuses to participate in collective decision-making about resource allocation. Budget requests are tied to strategic planning goals and objectives to ensure that resources are used most effectively to support colleges’ missions in service to student learning and achievement. Fiscal controls are in place to further ensure accountability in the allocation and use of resources.

IV.D.4 The CEO of the district or system delegates full responsibility and authority to the CEOs of the colleges to implement and administer delegated district/system policies without interference and holds college CEOs accountable for the operation of the colleges.

Evidence of Meeting the Standard

The University of Hawai‘i System has a President, a Vice President for Community Colleges (among several Vice Presidents responsible for differentiated areas of UH-System functions), and Chancellors for each of the ten universities or colleges in the system. As noted, the Vice-President for Community Colleges (VPCC) is the CEO of the system of the seven UH community colleges. Each college has a Chancellor, the CEO of the institution. Board of Regents Policy BP 4.207 established the Community College System in 2002, although the colleges have been functioning since 1965 as part of the UH System. [BP 4.207] In 2005, the Board of Regents approved the reorganization of the Community College System and created the new Executive position of Vice President for Community Colleges [BOR Minutes, June 21, 2005] A subsequent memo to the college Chancellors provided detailed organizational charts as well as a Functional Statement for the Office of the Vice President for Community Colleges (OVPCC.) [Unebasami Memo of July 8, 2005] Key among the Major Functions delineated in that memo is the following:

“Ensures that the community college chancellors have full responsibility and authority to implement and administer delegated system policies without interference and holds the chancellors accountable for the operation of the colleges.”

The authority and responsibility of Community College Chancellors for the overall management and governance of their campuses is further affirmed in Executive Policy 1.102: Authority to Manage and Control the Operations of the Campus, which states, “Primary authority for financial management has been delegated by the President to the Chancellors. Chancellors may
sub-delegate authority to qualified, responsible program heads.” [EP 1.102] University of Hawai‘i Community Colleges Policy, *UHCCP # 8.000: General Fund and Tuition and Fees Special Fund Allocation*, also specifies the Chancellor’s responsibility “…to develop a methodology to allocate funds to the campus units consistent with budget planning and resource allocation standards of the accrediting commission.” [UHCCP #8.000] Responsibility for a broad range of personnel actions has also been delegated to the Chancellors in Executive Policy 9.112 (Attachment B). [EP 9.112, Attachment B]

In line with the need for accountability in the fulfillment of their duties, Chancellors (and other Executive-Managerial personnel) are subject to annual performance evaluation, with final assessment by the VPCC. This process is thoroughly codified in *UHCCP #9.202: Executive Employees Performance Evaluation*. [UHCCP #9.202] [Update with BOR action November 1, 2017]

**Analysis and Evaluation**

The System meets this Standard.

It is clearly documented in several policy and procedural documents that both the delegation of authority to the campus CEOs, as well as mechanisms to ensure their accountability, are clearly established in the UHCC system. The trend of delineation and delegation has generally given more autonomy to the Chancellors in making campus-level decisions, particularly in the areas of personnel and finance.

**IV.D.5 District/system planning and evaluation are integrated with college planning and evaluation to improve student learning and achievement and institutional effectiveness.**

**Evidence of Meeting the Standard**

The community colleges in the Hawai‘i statewide system of public higher education operate within a three-tiered system: the University of Hawai‘i (UH) system as a whole (including seven community colleges, two baccalaureate institutions, and the flagship research university); the UH Community College system; and the individual community college campuses located on the four major islands in the state. Learning Centers that are part of UH-Maui College are located on two other islands. [New System Map] A commitment to the parity of access for students and to the continuous improvement of conditions contributing to student learning and success, as well as a commitment to the equitable allocation of resources in support of that ultimate goal, require effective planning of operations that are coordinated and integrated across the system.
As noted, there are multiple structures in place at the UH- and the CC-system level (e.g., committees of administrative counterparts from individual campuses, councils of campus governance representatives) that facilitate the dialogue and decision-making essential to the processes of planning and implementation. In addition, each tier of the system is grounded in a comprehensive Strategic Plan that provides the conceptual guidance for mid-range planning. These currently include the *UH Strategic Directions 2015-2021*, the *UHCC Strategic Directions 2015-2021* (intentionally developed to be aligned with the overall UH plan), and the individual campus strategic plans, also developed in alignment with the UHCC plan. *UH Strategic Directions 2015-2021* [UHCC Strategic Directions 2015-2021] [individual campus plans].

A crosswalk of these three levels of planning further corroborates the high degree of congruity and integration. *Crosswalk of UH System, UHCC System, and Campus Strategic Plans* In some cases, goals and objectives of strategic planning have been quantified or operationalized to provide a basis for evaluation of institutional effectiveness. Several of these measures are further linked to performance-based funding provided at both the UH- and the CC-system level, as seen in the Crosswalk of UH System and UHCC System Performance Funding cited in IV.D.3. *Crosswalk of UH System and UHCC System Performance Funding*

Most recently, on April 20, 2017, the Board of Regents approved the Integrated Academic and Facilities Plan (IAFP) for the University of Hawai‘i System. Recognizing the critical interdependence between the academic missions of the ten campuses and the physical and other resources required to support those missions, the IAFP states that it is “…intended to provide a comprehensive plan for how the campuses will develop and work together to ensure that the entire mission of the UH system is addressed without undue duplication or inter-campus competition.” (p. 2) *Integrated Academic and Facilities Plan for the University of Hawai‘i System* The IAFP provides an overview of current conditions and emerging needs and prospects for the four major units in the system (the three universities and the CC system) and affirms the further integration of planning in noting that “The principles of this plan will be incorporated into biennium budget planning, annual operating budgets, 6-year CIP plans and academic program approvals and reviews.” (p. 18)

**Analysis and Evaluation**

The System meets this Standard.

The UH System, the UHCC System and the individual community colleges develop strategic planning documents that are closely aligned in support of institutional missions focused on student learning and achievement. In many cases, the goals articulated in the planning documents result in measurable objectives that are used as the basis of evaluating institutional and system effectiveness.
IV.D.6 Communication between colleges and districts/systems ensures effective operations of the colleges and should be timely, accurate, and complete in order for the colleges to make decisions effectively.

Evidence of Meeting the Standard

Multiple modes and avenues of communication exist in the UH system to facilitate and support the effective operation of its constituent institutions. Within the UHCC System, the Vice President for Community Colleges (VPCC) and the administrative staff in the Office of the Vice President for Community Colleges (OVPCC) are key liaisons in the ongoing process of the flow of information.

The VPCC is a member of the UH President’s senior leadership team (Executive Council) as well as a member of the ten-campus Council of Chancellors. The VPCC serves as the Administrative Representative to the Board of Regents (BOR) Standing Committee on Academic and Student Affairs, and items forwarded from the colleges for BOR approval (e.g., Strategic Plans, Institutional Self Evaluation Reports) are presented under the signature of the VPCC. In addition to publicly posted minutes of BOR committee and Board meetings, the VPCC is provided with memos summarizing BOR approved actions. [Memos] Campuses are also informed of updates to the policies and procedures that constitute the institutional infrastructure through notification from the Policies and Procedures Information System (PPIS).

The VPCC also meets regularly with three Councils representing different aspects of college governance: The Council of Community College Chancellors, the Community College Council of Faculty Senate Chairs, and the Community College Council of Native Hawaiian Chairs. Meetings of these Councils are documented, and each Council completes an annual self-assessment. [UHCCP # 1.101: Council of Community College Chancellors] [UHCCP # 1.102: Community College Council of Faculty Senate Chairs] [UHCCP # 1.104: Community College Council of Native Hawaiian Chairs]

The VPCC makes semi-annual visits to each CC campus, with information pertinent to both CC-system and individual campus performance. Typically, Fall semester visits focus on major initiatives and budget for the current academic year as well as campus score-cards in the context of performance-based funding based on data from the prior academic year. Spring semester visits generally provide a summary, as well as a prospective view of upcoming work. [campus examples of VP Fall and Spring Powerpoints]

As noted, the community colleges function within a three-tiered system: The UH system, the UHCC system and the individual community colleges. Communication between the top two
tiers (UH system and UHCC system) is structurally more stable and often articulated in specific policy or procedure. Communication between system and individual campuses is predicated on the expectation that campus representatives who sit on or are present at system-level meetings (e.g., the Councils identified above, or meetings of functional counterparts such as Vice-Chancellors for Academic Affairs) will report back to their campuses or constituents for informational or decision-making purposes. Individual campus perspectives on communication between campus and system suggest that there are varying degrees of effective campus- and constituent-focused reporting. With the goal of improving timely access to information documenting discussion and decision-making at the system level (e.g., agendas and minutes of Councils and other deliberative bodies), specific steps have been taken to address communication-related concerns: 1) as needed, orientation is provided to those serving as campus representatives to system committees so they are more fully aware of their reporting duties; and 2) the OVPCC is engaged in a comprehensive update of its own website to enhance accessibility and currency of the information posted there.

**Analysis and Evaluation**

The System meets this standard.

Just as the VPCC serves as an important point of connection between the UH System and the CC System (OVPCC), and between the OVPCC and the individual colleges, the Chancellors of the individual colleges are responsible for coordinating with the OVPCC, and for extending lines of communication to their respective executive teams, faculty, and staff. The OVPCC has recognized the need to maintain access to up-to-date documentation of system-level meetings, and is updating its own website to ensure better access to that information.

*IV.D.7 The district/system CEO regularly evaluates district/system and college role delineations, governance and decision-making processes to assure their integrity and effectiveness in assisting the colleges in meeting educational goals for student achievement and learning. The district/system widely communicates the results of these evaluations and uses them as the basis for improvement.*

**Evidence of Meeting the Standard**

The process of evaluating role delineations, governance, and decision-making processes can best be described as organic and ongoing, in the sense that while there is not a formal instrument of evaluation or assessment, there are multiple established policies and procedures in place at the UH, the UHCC, and campus levels that are intended to ensure the stable, consistent, and effective functioning of systems and individual colleges. Such policies and procedures serve both to a) set standards of best practices; and b) minimize the likelihood of actions that do not
uphold expectations of integrity and effectiveness. Policies are regularly reviewed [BOR Policy Review process], new policies are created when need is recognized (e.g., new UHCC policy on selection process for Chancellors), roles and responsibilities are delineated in the Functional Map, UHCC system Councils conduct annual self-evaluations, and personnel are regularly evaluated on their performance in supporting and achieving educational goals.

Of specific importance in this last context is the role of the Community Colleges’ Strategic Planning Council (SPC), the primary body for assuring systemwide participation in the UHCC strategic planning process, as codified in UHCCP #4.101: Strategic Academic Planning. The policy identifies roles and responsibilities in the process of campus academic planning, which provides much of the critical infrastructure for the effective functioning of the colleges. [UHCCP #4.101]

**Analysis and Evaluation**

The System meets this standard.

Established policies and procedures as well as documentation of governance and decision-making that operationalize those policies and procedures are subject to ongoing review. Where appropriate, colleges are evaluated on the basis of performance-based measures that support their efforts to meet goals linked to student achievement and learning.